

RFP NO. NIMH-99-DS-0004

TITLE: "Cost Survey of Mental Health Treatment for Children (CMC)"

ISSUED BY: Robert D. Barnie  
Contracting Officer  
National Institute of Mental Health  
Contracts Management Branch  
6001 Exec. Blvd., Rm. 6107, MSC 9603  
Bethesda, MD 20892-8030

DATE ISSUED: July 7, 1999

PROPOSAL DUE DATE: August 23, 1999

Dear Sirs:

The National Institute of Mental Health (NIMH) invites you to submit a proposal in accordance with the requirements and instructions of Request for Proposals (RFP) No. NIMH-99-DS-0004. Proposals are being solicited under Full and Open Competitive procedures.

It is expected that an award will be made on or before December 30, 1999.

The RFP does not commit the Government to pay costs for the preparation and submission of a proposal. It is also brought to your attention that the Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with any acquisition action.

The documents included with this electronic RFP package are as follows:

- I. Streamlined RFP
  - A. Background, Statement of Work (SOW) (Attachment 1)
  - B. Deliverables and Reporting Requirements (Attachment 2)
  - C. Evaluation Factors for Award (Attachment 3)
- II. Specific RFP Instructions and Provisions (Attachment 4)
- III. Applicable RFP References (Attachment 5)

The attachments listed above represent all the necessary information required for the submission of a proposal for this acquisition.

NIMH will utilize the National Institute of Allergy and Infectious Diseases' (NIAID) Contract Review ON-Line (CRON) system for submission and review of this RFP. Offerors must submit

their proposals ELECTRONICALLY. In addition to your electronic submission, Offerors must submit one original signed **HARDCOPY** of both their Technical and Business Proposals.

Adequate security for electronic transmission will be provided by using a dedicated server with access restricted through passwords which will be disseminated by the NIMH Contracting Officer. Please note that the electronic copy of your proposal will need to be submitted in Adobe Acrobat portable document format (PDF). An official authorized to bind your organization must sign the hardcopy of your proposal. Please be advised that this RFP has placed page limits on the narrative portion of the Technical Proposal. Pages in excess of the maximum will be deleted and will not be read or evaluated. See Attachment 4 for complete detail on page limitations, proposal format and instructions on how to prepare and submit a proposal.

**SPECIAL ATTENTION SHOULD BE DIRECTED TO THE TECHNICAL PROPOSAL INSTRUCTIONS AND BUSINESS PROPOSAL INSTRUCTIONS CONTAINED IN ATTACHMENT 4.** Questions pertaining to the Government's requirement or proposal preparation should be referred only to Robert D. Barnie, Contracts Management Branch, NIMH, who may be called on (301) 443-2696 or via E-mail: [Rb245s@nih.gov](mailto:Rb245s@nih.gov)

You must submit your electronic proposal (via the Internet) and the signed hardcopy (to one of the addresses listed below), for receipt **no later than August 23, 1999 at 3:30 p.m. local time.** Your proposal must be signed by an official authorized to contractually bind your organization and must indicate that it is valid for a period of at least 120 days.

If hand-delivered or delivery service

Contracting Officer  
National Institute of Mental Health  
Contracts Management Branch  
6001 Exec. Blvd., Rm. 6107, MSC 9603  
Rockville, MD 20852-9603

If using U.S. Postal Service

Contracting Officer  
National Institute of Mental Health  
Contracts Management Branch  
6001 Exec. Blvd., Rm. 6107, MSC 9603  
Bethesda, MD 20892-9603

In addition, you are reminded that the "Technical Proposal Cover Sheet" (contained in Attachment 5) must be completed in full detail and used as the cover sheet for each copy of your technical proposal. New policies require submission of more detailed information than what has been previously required. It is important that you list all professional personnel and organizations named in the proposal who will have any role in the proposed work, including: staff of the primary organization (offeror), subcontractors, collaborating organizations, and consultants. Organizational affiliation(s) must be indicated for every person named. You may use additional sheets, as needed, following the format shown in the Technical Proposal Cover Sheet. This information will be used to ensure that there will be no conflicts of interest when selecting review committee members.

Your attention is further directed to the "Proposal Intent Response Sheet" contained in Attachment 4. Please complete this form and return it to this office via fax on (301) 443-0501 or

E-mail: [Rb245s@nih.gov](mailto:Rb245s@nih.gov) on or before **August 4, 1999**. This will allow us to expedite preparations for the electronic submission and review of proposals.

**IF YOU INTEND TO SUBMIT A PROPOSAL, IT IS ESSENTIAL THAT YOU SUBMIT THE PROPOSAL INTENT FORM. IF YOU FAIL TO SUBMIT THE FORM, YOU WILL NOT RECEIVE ADDITIONAL INSTRUCTIONS NECESSARY TO SUBMIT THE ELECTRONIC COPY OF YOUR PROPOSAL.**

ALL AMENDMENTS TO THIS SOLICITATION WILL BE AVAILABLE ON THE INTERNET ON THE NIMH HOME PAGE AT: <http://www.nimh.nih.gov> Notification of amendment(s) to this RFP will be provided to those who submit the Proposal Intent Response Sheet.

Questions concerning any areas of uncertainty, which in your opinion, require clarification or correction, must be furnished in writing (Fax or email is also acceptable) to Robert D. Barnie, and marked "Offeror's Questions, RFP No. NIMH-99-DS-0004". If you have any additional questions regarding this RFP, please contact me by E-mail: [Rb245s@nih.gov](mailto:Rb245s@nih.gov) by phone (301) 443-2696 or by Fax at (301) 443-0501. Collect calls will not be accepted. ANY DISCUSSION OF THIS RFP WITH ANY INDIVIDUAL(S) OUTSIDE THE CONTRACTS MANAGEMENT BRANCH, NIMH, MAY RESULT IN DISQUALIFICATION OF THE OFFEROR AND REJECTION OF ANY PROPOSAL SUBMITTED.

Sincerely,

/s/

Robert D. Barnie, Contracting Officer  
Contracts Management Branch, ORM  
National Institute of Mental Health, NIH

Attachments: 1-6

RFP No. NIMH-99-DS-0004

I. STREAMLINED RFP

#### **ATTACHMENT 1 Statement of Work**

**Title: "Cost Survey of Mental Health Treatment for Children (CMC)"**

#### **BACKGROUND**

Approximately 7-8 million children in the United States suffer from mental disorders (DHHS, 1990). At a time when major changes are taking place in the mental health care delivery system, accurate information is not available about the cost of treatment for children and adolescent

mental disorders, how financing arrangements influence the cost of treatment, and what treatments children receive for mental disorders.

Until now studies of the cost of mental health care have focused on adults and did not collect information about the resource use of children with behavioral and emotional problems and their families. Reliable information on the costs of children's mental health service use are necessary to inform policy makers about the needs for development of mental health services.

Cost and financing issues related to child mental health service use cannot be addressed by using existing secondary data sets given the relatively low prevalence of childhood disorders in community populations. Similar limitations occur when data are utilized from national probability surveys without oversampling children who use mental health services, since the majority of costs are accounted for by a small number of children using intensive services. Children in intensive service settings (1) consume about 70-80% of mental health expenditures spent on children annually; (2) are likely to be the target of much of the organizational reforms and the changes in public financing of services; and (3) have never been studied on a national level, and therefore, little is known about the content of their care. The two child mental health cost studies available currently (Burns, 1991; Hoagwood and Rupp, 1995) do not provide reliable information about the costs of services and sources of payment for children suffering from mental and emotional disorders. To date, no systematic data collection has been undertaken to estimate the cost of child mental health service use and to understand the distribution of child and adolescent mental health expenditures by payment source.

Insurance coverage for mental health services has been rapidly changing in both public and private sectors during the last decade. Separate "carve out" management of mental health services has changed the incentive structure for various kinds of mental health providers, with supply-side controls (e.g. utilization review, prehospitalization authorization) making demand-side controls (e.g. benefit limits) for service use and costs somewhat less relevant. Despite the Mental Health Parity Act of 1996 (P.L. 104-204) and State level mental health insurance parity legislations, there is still considerable discrepancy in private insurance coverage for physical and mental illnesses. In the public sector Medicaid is also implementing managed behavioral health care while State Mental Health Agencies privatize the provision of publicly financed care for the severely mentally ill. All of these changes in the financing and organization of mental health care impact the cost and quality of care for children and adolescents that require carefully designed scientific studies to inform mental health policy.

In 1994, NIMH launched a cooperative agreement study entitled: Use, Need, Outcomes and Costs in Child and Adolescent Populations (UNOCCAP). One major goal of the study was to estimate the national cost of providing mental health services to children and adolescents between the ages of 4-17, and to collect data on how financing mechanisms affect variations in costs. The study design developed within the framework of the cooperative agreement received scientific review in 1997 by an Oversight Board appointed by the NIMH Director at the request of the National Mental Health Advisory Council. Although the full UNOCCAP study was never conducted, the Oversight Board evaluated the research design and the feasibility of the proposed studies and concluded that the data collection methodology proposed for estimating the cost of

treatment of children treated in restricted settings, (e.g., inpatient, residential treatment, and partial hospitalization settings) was ready for implementation.

#### A. DEFINITION OF TREATMENT SETTINGS INCLUDED IN THE STUDY

Children and adolescents between ages 4-17 treated for mental disorders in the following mental health treatment settings are proposed to be included in the survey:

1. *Inpatient treatment settings*: institutions providing inpatient psychiatric services (e.g. State and county mental hospitals, private psychiatric hospitals, general hospital psychiatric units). They are defined precisely on the list of psychiatric facilities in the United States maintained by the Substance Abuse and Mental Health Administration, U.S. Department of Health and Human Services. The name of the list is: Inventory of Mental Health Organizations (IMHO).
2. *Residential treatment setting*: residential settings for the treatment of serious emotional disturbances or a residential educational facility for youth with serious emotional disturbances.
3. *Partial hospitalization*: partial care is primarily geared to the chronically mentally ill. The majority of partial hospitalization occurs in freestanding facilities that specialize in this treatment modality and in multiservice mental health organizations.
4. *Specialty mental health outpatient settings*: the IMHO list defines various outpatient settings, including office-based practice psychiatrists, psychologists, social workers and psychiatric nurses; outpatient psychiatric clinics of various types of hospitals; free-standing outpatient psychiatric facilities for the treatment of mental disorders, etc. The intensity of the therapy will be defined by the contractor taking into consideration clinical and reimbursement issues as discussed in the literature on high users of mental health services.
5. *Other mental health treatment settings*: other specialty treatment settings that provide intensive mental health services (e.g. in home crisis services).

#### B. OBJECTIVES

The Oversight Board recommended that the NIMH initiate a national survey of the type of services used by children in treatment, the costs of these services, and how benefit coverage affects access, use and cost of mental health services. The purpose of this contract is to answer the following questions:

1. What are the costs of *mental health* services for youth in inpatient, residential, partial care (IRP) and intensive outpatient treatment (ages 4-17)?  
     How do costs vary by sociodemographic groups?  
     How do costs vary by type of mental disorder?
2. How do financing arrangements and insurance benefits influence the use of services and the costs of care?
3. What kinds of treatment services are delivered to children in these treatment

settings and what is the quality of those services?

#### 4. What mental disorders do children have in these settings?

The study should focus on children treated for mental health problems, especially those children considered high users of mental health services (e.g., inpatient, residential, partial care and intensive outpatient). The goal of this contract is to conduct a survey that collects data weighted to provide national estimates for addressing the preceding questions.

### C. APPROACHES

The methodology of the contract study should pay considerable attention to the sampling of mental health service settings, geographic areas, and populations needed to take advantage of the natural variation in the spread of managed care, provider types, and public laws related to the delivery of mental health care. Variation across States in policy changes or the provision of services should influence the sampling frame. It is anticipated that a multistage probability design will be used as part of the sampling methodology.

The sample and assessment should include youth in various types of restrictive services (inpatient, residential treatment and partial hospitalization services, generally referred to as IRP settings), intensive outpatient therapy, and may include other intensive services such as in-home crisis services. The intent is to gather a representative sample of youth who are the most intensive users of mental health services.

#### Sampling:

The sampling methodology should include, and is not limited to, the sample design, the sampling frame, noncoverage minimization, sample size, power calculations, sample weights, variance estimation, and adjustment procedures for sampling and nonsampling errors. The assumptions and derivations supporting the sampling methodology should be explicit.

I. *IRP survey sample*: The contractor should develop a sampling methodology that would include children ages 4-17 who have had an inpatient psychiatric hospitalization, an overnight stay in a residential treatment facility or were admitted to partial hospitalization program because of an emotional or behavioral problem. In a pilot study for the UNOCCAP project the effective sample size was estimated to be approximately 1500 children from 800 treatment settings for this part of the sample.

II. *Intensive outpatient survey sample*: The contractor should develop a sampling methodology that would obtain accurate cost information on child treated in intensive outpatient settings and other intensive services such as in-home crisis services. While developing this sample, contractors should take into consideration the characteristics of the IRP survey sample and provide clear description of the relationship between the two samples in the study design.

## Instruments:

I. *IRP instruments*: Instruments that could be used for collecting cost data, data on use of services, quality of care and type of mental health problem from IRP institutions were developed as part of the UNOCCAP pilot study. It is possible that some instrument development will be needed, but the contractor must provide a strong scientific rationale for such effort. In any event, such work should not delay the start of the survey. It is expected that all sampled children, and when available, parents or guardians will be interviewed on the types of treatments children receive and the quality of those treatments. Children selected for this study should be followed at adequate time intervals during the study year to obtain valid data (e.g., baseline, 6 months and 12 months). These data will allow investigators to estimate the annual cost expenditures of children and establish access and use of services. Information gathering on the *cost of care* should include questions on the charges, payments, payment basis and payer type for each mental health service billed by the clinician, hospital, clinic, or agency. The treatment cost of services to third party payers, public agencies and families should be included in order to estimate the total treatment costs of children and adolescents who are high users of mental health services. Data also should be collected on demographic and socio-economic characteristics of children and their families.

II. *Intensive outpatient services instrument*: The contractor should use data collection instruments relevant for capturing data on service use, cost, quality of care, mental health problems and socio-demographic characteristics of children who receive these services. The outpatient version of the questionnaire should include questions similar to the inpatient version of the questionnaire. The contractor may propose to collect data on other intensive services such as in-home crisis services.

III. *Insurance followback instrument*: In order to estimate the cost variations by insurance coverage, an insurance follow-back survey instrument should be able to obtain information on: Insurance (both public and private) Plan Structure; Mental and Substance Abuse Benefits Covered; and Payment/Reimbursement Policies. It is not acceptable to simply interview household respondents for this information. In addition, the contractor should develop a typology of the intensity of the level of management applied in the given treatment setting according to the child's health insurance arrangement.

## Development of Research Design

Contractor will develop a research design in order to answer questions described under items 1-4 in the Objectives Section of the SOW. Whenever scientifically necessary, the data sets collected under this contract can be combined with other existing data sources. The research design should be closely and specifically linked to the research questions to be answered and should include a conceptual approach section. The contractor is expected to use state of the art methodology in terms of econometric and statistical modeling, survey methodology, and mental health care and cost quality measures as well as utilization measures in proposing an acceptable research design. The length of the research design description may vary, but a minimum of 10 pages is expected for each research question to be answered.

### Conducting Data Analysis:

After finalizing the research designs for each study question by incorporating the comments from the Technical Advisory Panel (TAP) and the Government Project Officer (GPO), the contractor shall conduct data analyses to provide empirical answers for Questions 1 and 4 as specified in the Objectives Section. Analytic work will be carried out primarily for Questions 1 and 4. The contractor may propose to conduct analytic work on Questions 2 and 3. The data analysis work should result in reports including the description of the research questions, the methodology applied, the data sets utilized, and the empirical findings. The reports should be publishable quality and will provide a basis for papers to be published in scientific journals, including the GPO and other NIMH staff as appropriate with significant scientific contribution as co-authors.

### D. SCIENTIFIC REQUIREMENTS

Recent advances in survey methodology should be used in this contract. The contractor shall incorporate the following principles in the survey in order to assure that the survey is scientifically rigorous, economical and generative over time:

- pre-testing of fully structured instruments for reliability and validity;
- development of training protocols for professional interviewers to use the instrumentation;
- data on the performance of the instrumentation in the context of professional survey interviewers.
- Pilot study shall be conducted in order to test feasibility of the project.

### E. SERVICES TO BE PERFORMED

#### General Requirements

All work done under this contract shall be under the general guidelines and technical monitoring of the NIMH GPO, whose role is defined in Attachment 4, Section L of this RFP. This may require significant interaction between the GPO and the Contractor.

#### Management

Independently, and not as an agent of the Government, the Contractor shall provide all the necessary labor, materials, supplies, qualified personnel, equipment, services, and facilities not otherwise provided by the Government under the terms of this contract, as needed to perform the tasks set forth below.

1. The Contractor is responsible for performing all aspects of the survey, from the initial planning to the preparation of the final data tape and its documentation.
2. The Contractor is responsible for developing research methodology which answer the major study questions.



3. The Contractor is responsible for carrying out analyses to answer Q1 and Q4 as specified in the Objectives and should propose data analysis activities concerning Q2 and Q3 as an option (See "H. OPTIONS" below).
4. Contractor is responsible for documenting all aspects of the survey and data processing tasks. Options and decisions for resolving methodological problems shall be documented in written memoranda or reports to the GPO.
5. Contractor shall cooperate with NIMH in obtaining required OMB clearances. The Contractor shall assist the GPO in preparing materials required for any and all clearances required during the course of the contract.
6. Contractor shall establish an external TAP: with the concurrence of the GPO, composed of 5 non-Federal members with expertise in health economics, services research, public policy and survey research. The TAP shall be designated to advise the GPO on the conduct of the survey. Meetings of the TAP shall be in the Washington, D.C. area. The contractor shall make meeting arrangements and reimburse non-Federal TAP members for travel, per diem, and honoraria. The contractor shall reproduce and distribute work plans and draft reports for the TAP in advance of each meeting, make presentations, and prepare, reproduce, and distribute minutes.
7. Contractor shall prepare reports and work plans: The contractor shall submit a monthly administrative progress report outlining all work accomplished during the month. This report shall be in narrative form and shall be due 10 days following the end of each month. Reports shall be submitted to the GPO, with an informational copy to be submitted by the contractor to the Contracting Officer. Reports shall include, at a minimum, the following:
  - (a) contract number;
  - (b) project director;
  - (c) a summary of overall progress including expenditure reports and cost projections, productivity reports, reports on progress in field data collection and data preparation and entry, reports on key dates and deliverables, and a summary assessment of accomplishments and problems;
  - (d) a narrative relating contract total progress to date, compared to original contract milestones. Time line charts depicting program milestones as detailed in the contract scope of work, and calculations showing projected percent of funds expended to actual funds expended at the current stage of the contract shall be submitted with each report. Schedule delivery dates and/or task completion dates, which are missed, or are likely to be missed, shall be reflected in both the narrative summary and on the time line chart. New proposed delivery or completion dates shall be included in the summary and on the time line chart;
  - (e) a discussion of significant problems, which may adversely affect contract performance and contractor, plans for corrective action and;
  - (f) a discussion of the work planned for the next month.

Monthly management meetings in person or by teleconference shall be held between the GPO and key government staff and the project director and his/her key staff to review progress of the contract and upcoming activities, and to resolve problems. These meetings shall be held in the Washington, D.C. area or by telephone. The contractor shall submit an agenda in advance of the meetings.

The contractor shall keep minutes of all formal meetings with NIMH. The minutes shall be in narrative form and be due to the GPO 10 days following the meeting. Minutes shall include:

- (a) contract number;
- (b) project director;
- (c) a list of those in attendance;
- (d) a description of significant issues discussed;
- (e) action items resulting from the meeting, assignments and due dates. In order to facilitate communication and review of drafts, the contractor shall arrange for electronic desk-to-desk communication (e.g. by electronic mail or by fax machine) between the project director and the GPO.

Survey components (IRP study and Intensive Outpatient Study, Insurance Followback):

1. Design, implement and document sample: The Contractor shall design and implement a nationally representative sample of children ages 4-17 who are intensive users of mental health treatment services. The proposal shall include a draft sampling plan addressing the design and the procedures for sample selection, and the procedures for sample weights, production and variance estimation. Within one (1) week of contract award, the contractor shall meet with the GPO to finalize the sampling plan. GPO comments shall be incorporated in the final plan submitted within three (3) weeks after contract award.
2. Sample preparation and detailed sampling unit data: Contractor will create and maintain a database that includes and identifies all of the sampling units and provides detailed information about them.
3. Produce Instruments and supporting materials: The contractor shall maintain and adapt all questionnaires, computer programs, specifications, manuals and respondent materials, and other documents intrinsic to the conduct of the survey. The contractor should use instruments already developed but can modify them as needed. All documents delivered to NIMH shall be in hard copy form and on computer disk.
4. Contractor shall have well qualified staff available for interviewing. Training programs shall be designed so that all data collection staff performing the same function shall have the same training.
5. Data collection: The contractor is expected to organize the data collection in the most cost-effective manner that does not affect the analytic goals of the survey. Field progress and costs shall be reported monthly to the GPO. Supervision through

supervised interviews, reviews of individual interviews, and other means of observation and verification shall be maintained to assure the quality of the data. The contractor shall arrange for systematic and timely reporting of quality control data to the GPO. The contractor shall implement an independent verification procedure of the quality of the insurance followback component not to be less than 20 percent of the plans.

6. The contractor shall maintain toll-free telephone communications for both interviewers and respondents with the central office so that all questions can be answered efficiently. As needed, the contractor shall provide a mechanism for accurate transmission of electronic files and necessary hard copy materials between offices to facilitate efficient field operation.
7. Develop necessary consent forms: contractor is responsible for developing permission and consent forms when necessary.

#### Data Processing:

1. Introduction: Questionnaires, Insurance Abstraction Forms, etc. are the primary data collection instruments and data in the operational database is transformed into a series of analytic files. This contract includes the editing, imputation and data file delivery for the calendar year of the data collection.
2. Data security: The contractor shall provide for the secure and confidential storage of all hardcopy forms and computer files, as specified by the GPO. In addition, the contractor shall provide for the secure and confidential transmission of data between the central office, the interviewer, and the field supervisor as well as provide for secure and confidential storage of information. The Contractor shall prepare and submit to the GPO a report on data security procedures. The Contractor shall dispose of hardcopy forms and computer files with GPO concurrence, on or before the contract completion date.
3. Data entry: The contractor shall key all data collected. The contractor shall develop, reproduce and implement detailed keying, keying training, and keying verification procedures.
4. Re-keying (data verification): A sample of 20% of data forms must be double-keyed (by a different data entry person). This 20% sample is from different data collection instruments, different data entry clerks (if more than one) and different data collection sites. If the error rate is higher than 2% of the records within a particular instrument, keyer, or site, then 100% of the records within that subset must be double-keyed.
5. Coding: The three components of the surveys may contain a number of text fields that need to be converted to numeric fields by the contractor. The contractor shall develop and conduct a training program, with prior review and approval of the GPO, for

- coders and verifiers and develop, reproduce and implement detailed coding instructions and verification procedures with adjudication methods specified.
6. Matching: The contractor shall develop and implement specifications for statistically matching data collected under the three major components (IRP study, Outpatient Study, Insurance Followback). Specifications of the strategies used in these efforts shall be provided on award.
  7. Data cleaning, editing and imputation: The contractor shall maintain, edit, update, and document files in accordance with specifications developed with concurrence of the GPO. This work shall include designing, testing, and implementing procedures to edit raw data, including resolving logical inconsistencies and performing imputations using weighted sequential hot deck and other methods to account for missing data, and performing quality control checks on final versions of files for all key individuals included in the database. These checks shall entail at a minimum, producing population weighted frequencies of selected variables, bench marking the results against other sources of similar information and editing the unweighted data to conform to skip patterns. The contractor shall implement methods of replacing missing data.
  8. Data file preparation and delivery: The contractor shall organize the data collected under this contract into data files usable with the SAS statistical software package. As the final task a data file package shall be delivered as a unit and shall consist of the following: a cleaned and edited/imputed data file, the original unedited file, and complete and detailed documentation for each of the files. Accompanying the data file delivery shall be the final version of the data collection instruments used for data collection. The documentation shall include a code book containing at least the name of the variable, a description of the variable, reference to its source in the data collection instrument, the type of data filed (alphanumeric or numeric), its length, its position on the file, and an edit trail that is cross-referenced to the specifications for and report on the edition, cleaning, and imputation of the variable. There should be columns on the data file which indicate by a separate code what data items were imputed to replace blanks due to any reason. For all non-continuous variables, the codebook shall also include all values of the variable and the meaning of each value. For continuous variables, the codebook shall identify the range of valid values and each additional missing or bad data code and its meaning. The documentation shall also include the frequency and percent distribution (weighted and un-weighted) of the values of each non-continuous variable and, for continuous variables, a frequency and percent distribution in terms of the valid range and each additional code. All data files, file formats, and data storage media shall be compatible with the IBM MVS mainframe system at the NIH Computer Center. The NIH Computer Center Users' Guide provides information how to meet this requirement.
  9. In case personally identifiable data will be collected, the contractor shall obtain IRB approval from the local IRB board and need to assure confidentiality of the data. These data cannot be released or revealed to NIMH or any other party.

10. A draft Public Use Data Tape and supporting documentation shall be submitted to the GPO six weeks prior to the completion of the contract. The final Public Use Data Tape and documentation shall incorporate comments from the GPO and the revised version shall be submitted to the GPO at the completion of the contract.

For the study year the following set of files shall be required (in addition to the full operational database):

1. A point in time file, which contains pooled data (baseline, followups and insurance followback). This file shall be at the person level and include person level weights. This data file will provide the basis for multivariate analysis to examine the relationships between the cost of treatment and its determinants.
2. A full year use, treatment expenditures, source of payment and health insurance file. This file shall be at the person level and shall include specific person weights, and full year person weights. This database will provide the basis for estimation of the annual level cost of child mental health treatment for users and the source of payment.
3. Other data files necessary to answer the research questions with the developed research design described under items 1-4 in the Objectives Section.

Using standard linkage procedures, the Contractor shall ensure that the Survey files can be linked to various other computerized data sets relevant to health services/mental health economics research. Examples of such data sets, which shall be specified by the GPO may include the Area Resources File, the City and County Data Book, the American Hospital Association's Annual Survey of Hospitals, the National Longitudinal Survey of Youth, etc.

#### Research Methodology Development:

1. The Contractor is responsible for a developing scientifically sound research methodology to answer all four questions of this study.
2. The Contractor shall utilize outside consultants/experts in the field to develop the research methodology, as applicable.
3. Contractor shall outline the research methodology section for each question addressed in the study.

#### Data Analysis:

1. Contractor is responsible for conducting empirical data analysis to answer the major questions of the study.

2. The data analysis shall be conducted in close collaboration with the GPO and the results shall be discussed by the TAP.
3. Contractor is responsible for preparing manuscripts for publication related to the major research questions. Manuscripts shall be submitted to GPO for review and approval prior to release for publication.
4. Data analysis methodology, conceptual framework, and research findings shall be described in detail in the Contractor's reports.

## F. REPORTING REQUIREMENTS

### Monthly Reports

The Contractor shall submit monthly progress reports. Two copies of the report shall be provided to the GPO and one copy to the Contracting Officer.

At a minimum, each report shall include:

- a. A list by Task, of labor hours broken out for each individual and other direct costs;
- b. A qualitative description of overall progress;
- c. An indication of any current problems which may impede performance, and proposed corrective action and;
- d. A discussion of the work to be performed during the next reporting period.

### Annual and Final Reports

The Contractor shall submit additional reports as follows:

1. The Contractor shall prepare an annual report due 12 months after the contract is awarded and every 12 months thereafter. Two (2) copies of each annual report shall be provided to the GPO and one (1) to the Contracting Officer. The annual report shall describe accomplishments by task and provide a candid assessment of the performance of the Contractor and sub-contractors, noting major problems that arose and how they were solved. There should be a special focus on monitoring survey activities and, if necessary, replacing Interviewers who perform poorly.
2. The Contractor shall prepare a final report, 2 copies of which are to be submitted to the GPO in draft for approval 4 weeks prior to the contract expiration date. The final report shall summarize the results of the activities conducted during the performance of the contract, including problems encountered and their solutions. The Contractor shall incorporate any comments or suggestions received from the GPO into the final report. Two copies of the final report, as approved above, shall be submitted to the GPO and one copy to the Contracting Officer by the contract expiration date.

## G. FINAL DATA SET(s) AND OTHER MATERIALS

At the completion of the contract, the contractor shall turn over to the GPO a cleaned and edited data set(s) and other materials, as specified in the SOW.

## H. OPTIONS

Option for Additional Services: The Government may require the delivery of the service identified below as an option item. The Contracting Officer may unilaterally exercise this Option by providing the Contractor with at least 30 days written notification. If the Government exercises this option the estimated cost/price of the contract will be increased as negotiated and established under the basic award.

1. Data analysis activities concerning Research Questions 2 and 3.

## ATTACHMENT 2

### DELIVERABLES AND REPORTING REQUIREMENTS

#### DELIVERIES OR PERFORMANCE

Performance of this contract shall begin on the effective date and shall not extend beyond the estimated completion date of the contract unless the period is extended by modification to the contract.

#### DELIVERY SCHEDULE

- A. The Contractor shall deliver the following items/reports in accordance with the delivery schedule set forth below:

DELIVERABLE	DUE DATE	QUANTITY
1. Strategic Plan	3 weeks After Contract Award (ACA), annually thereafter	1
2. Preparation of OMB Clearances	As required by GPO	
3. Technical Advisory Panel Mtg.	As required by GPO	
4. Sample Plan Mtg. W/ GPO	7 days ACA	1
5. Final Sample Plan	3 weeks ACA	1
6. Sampling Unit Database	Ongoing	
7. Instruments	Ongoing	
8. Data Collection	Ongoing	
9. Data Verification	As required	
10. Data Security Report	As required	
11. Develop & Conduct Training Programs	As required	

12. IRB Approvals	As needed	
13. Point In Time File	Upon Request of GPO	
14. Full Year Use, Treatment Expenditures, Source of Payment & Health Insurance File	Upon Request of GPO	
15. Other Data Files	Upon Request of GPO	
16. Monthly Progress Reports	10 days following the end of the month	2
17. Monthly Management Meeting Minutes	10 days following the meeting	2
18. Manuscripts for Publication	As required	
19. Draft Public Use Tape	6 weeks prior to contract completion date	2
20. Final Public Use Data Tape	Upon expiration date of Contract	2
21. Annual Reports	12 months ACA, annually thereafter	2
22. Draft Final Report	4 weeks prior to contract expiration date	2
23. Final Report	Upon contract expiration date	2

- B. All items shall be addressed and delivered to the GPO. In addition, one copy of the monthly progress reports, one copy of any subcontracts, and one copy of the final report shall be delivered to the CO by the specified delivery date.
- C. The following FAR Clause applies to this contract and is incorporated by reference with the same force and effect as is set forth in the full text.

FAR CLAUSE

TITLE AND DATE

52.242.15

Stop Work Order (August 1989), Alternate I (April 1984)

### ATTACHMENT 3

#### EVALUATION FACTORS FOR AWARD

##### A. GENERAL

Selection of an offeror for contract award will be based on an evaluation of proposals against four (4) factors. The factors, in order of importance are: technical, cost, small disadvantaged business participation (SDBP) and, past performance. Although technical factors are of paramount consideration in the award of the contract, SDBP, past performance and, cost/price are also important to the overall contract award decision. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price.



Offerors are advised that award will be made to that offeror whose proposal provides the best overall value to the Government.

The evaluation will be based on the demonstrated capabilities of the offerors in relation to the needs of the project as set forth in the RFP. The merit of each proposal will be evaluated carefully. Each proposal must document the feasibility of successful implementation of the requirements of the RFP. Offerors must submit information sufficient to evaluate their proposals based on the detailed criteria listed below. Failure to provide the information required to evaluate the proposal may result in rejection of that proposal without further consideration. Proposals which merely offer to conduct a project in accordance with the requirements of the Government's scope of work will be considered non-responsive to this request and will not be considered further. The offeror must submit an explanation of the technical approach and a detailed description of the tasks to be performed to achieve the project objectives.

**While high competency is sought, capabilities that exceed those needed for successful performance of the contract work/statement are not requested. In the event that the technical evaluation reveals that multiple offerors are approximately equal in technical ability, then the estimated cost of performance will become paramount. Proposals are intended to be evaluated and award made after discussions with offerors, but an award may be made without discussions with offerors.**

## **B. MANDATORY QUALIFICATION CRITERIA**

Listed below are mandatory qualification criteria. The offeror shall include all information which documents and/or supports the Qualification Criteria in one clearly marked section of its proposal. This Qualification Criteria establishes conditions that must be satisfied *before* a contract award can be made.

### **EVALUATION OF REPRESENTATION OF MINORITY GROUPS, GENDER, AND CHILDREN:**

**This research project involves human subjects. NIH Policy requires that children, women, and members of minority groups and their subpopulations must be included in the study population of research involving human subjects, unless a clear and compelling rationale and justification is provided with respect to the health of the subjects or the purpose of the research.**

**Where inclusion of children, women and minority populations is not feasible, a detailed rationale and justification for exclusion of one or both groups from the study population must be submitted with the technical proposal. The NIH will review the exclusion rationale to determine if it is appropriate with respect to the health of the subjects and/or the purpose of the research. If the rationale is not considered acceptable by the Government and you are being considered for award, you will be afforded the opportunity to further**

discuss and/or clarify your position. The NIH funding components will not award contracts that do not comply with this policy.

Investigators should read "NIH Guidelines For Inclusion of Women and Minorities as Subjects in Clinical Research," in the NIH Guide for Grants and Contracts, March 18, 1994, URL: <http://www.nih.gov/grants/guide/1994/94.03.18/notice-nih-guideline008.html>; and "NIH Policy and Guidelines on the Inclusion of Children as Participants in Research Involving Human Subjects," in the NIH Guide for Grants and Contracts, March 6, 1998, URL <http://www.nih.gov/grants/guide/notice-files/not98-024.html>.

## C. TECHNICAL EVALUATION CRITERIA

Proposals submitted in response to this RFP will be evaluated based on the following factors which are listed and weighted in order of their relative importance. Proposals will be judged solely on the written material provided by the offeror.

The evaluation factors and assigned weights that will be used in the technical review of proposals are:

	<u>WEIGHT</u>	<u>CRITERIA</u>
1.	<b>40</b>	<b>Technical Approach</b>
The proposal shall be evaluated on the reasonableness, clarity and feasibility of the proposed technical approach, for accomplishing the requirements of the Statement of Work (SOW) as demonstrated by the:		
a.		Offeror's overall proposed plan for coordinating the IRP study, the Outpatient Study and the Insurance Followback Study tasks, particularly those occurring concurrently or in a linked manner;
b.		Offeror's proposed strategy for the integration of data collection measures, post data collection processing, and analytic editing and imputation tasks;
c.		Offeror's proposed statistical and substantive soundness of the data editing and imputation techniques;
d.		Soundness of proposed estimation strategies for missing data and;
e.		Scientific soundness of the research methodology and the proposed data analysis.
2.	<b>15</b>	<b>Management Plan</b>

The quality of the program management as demonstrated by:

- a. The Offeror's appropriate use of corporate management resources;
- b. The proposed methods to be employed to assure the technically successful completion of tasks on schedule and within budget;

- c. The techniques proposed to be used to manage concurrently occurring dependent tasks and;
- d. The appropriateness of the organizational structure proposed to include the judicious use and management of subcontracts, the level and distribution of labor by category and task, and the approaches to communication.

3. **15 Understanding the Problem**

- A. Evidence of an understanding of the requirements of the SOW as demonstrated by the proposed approach to meeting the contract objectives including the nature of the issues and potential problems to be encountered related to the complexity of conducting surveys on children and adolescent populations.

4. **20 Qualifications and availability of Key Staff and Proposed Personnel**

Qualifications of proposed personnel as they relate to the requirements of this acquisition as evidenced by employment history, educational attainment, and specific professional and technical accomplishments of key staff. The Offeror shall provide a current resume for all personnel who will serve in a professional or technical capacity that demonstrates their

- a. Experience in managing, coordinating and evaluating the activities of multiple national, state, regional or local surveys similar to the requirements of this SOW;
- b. Experience in developing a research design similar to the requirements of this SOW;
- c. Experience in data analysis similar to the requirements of this SOW and;
- d. Training staff in primary data collection techniques of a similar level of complexity to this SOW.

Please provide a staff loading chart that clearly identifies and delineates the roles/responsibilities of those individuals who will participate in the effort, including: subcontracts, and individuals not paid from this requirement. This information should be provided in a tabular format, and must include the name of the individual, task to be performed, the percent of the individual's total effort to be spent on that specific task, and estimated total hours per year for that individual and that task. For example (assuming a 40 hr work week and 50 weeks worked per year):

Name	Task	% Effort	Total hrs/yr
Mary Roe	monitor sites	50%	1000
John Doe	copy pages	20%	200

5. **10 Facilities and Corporate Resources**

Offers will be evaluated on the adequacy of the resources available to complete the requirements of this acquisition including the adequacy of computer hardware and software, the availability of

a national field staff trained in primary data collection techniques of a similar level of complexity, the availability of mass mailing facilities and work stations to support this effort. The equipment must be compatible with NIMH equipment (IBM compatible) and software (including Microsoft Office Suite 97 Word, Access, Powerpoint and Excel).

#### **D. PAST PERFORMANCE**

The Offeror's past performance will be evaluated after determination of the competitive range. Only those offerors included in the competitive range will be evaluated. The evaluation will be based on information obtained from references provided by the offeror, other relevant past performance information obtained from other sources known to the Government, and any information supplied by the offeror concerning problems encountered on the identified contracts and corrective action taken.

Evaluation of past performance will be a subjective assessment based on a consideration of all relevant facts and circumstances. It will not be based on absolute standards of acceptable performance. The Government is seeking to determine whether the offeror has consistently demonstrated a commitment to customer satisfaction and timely delivery of services at fair and reasonable prices.

The assessment of the offeror's past performance will be used as a means of evaluating the relative capability of the offeror and the other competitors. Thus, an offeror with an exceptional record of past performance may receive a more favorable evaluation than another whose record is acceptable, even though both may have acceptable technical proposals.

Past performance will not be scored, but the Government's conclusions about overall quality of the offeror's past performance will be highly influential in determining the relative merits of the offeror's proposal and in selecting the offeror whose proposal is considered most advantageous to the Government.

By past performance, the Government means the offeror's record of conforming to specifications and to standards of good workmanship; the contractor's record of forecasting and controlling costs; the offeror's adherence to contract schedules, including the administrative aspects of performance; the offeror's reputation for reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the offeror's business-like concern for the interest of the customer.

The Government will consider the currency and relevance of the information, source of the information, context of the data, and general trends in the offeror's performance. The lack of a relevant performance record may result in an unknown performance risk assessment, which will neither be used to the advantage nor disadvantage of the offeror.

## **ATTACHMENT 4**

### **SECTION L – INSTRUCTIONS, CONDITIONS AND NOTICES TO OFFERORS**

## 1. GENERAL INFORMATION

### A. INSTRUCTIONS TO OFFERORS--COMPETITIVE ACQUISITION [FAR Clause 52.215-1 (October 1997)]

(a) Definitions. As used in this provision--

"Discussions" are negotiations that occur after establishment of the competitive range that may, at the Contracting Officer's (CO) discretion, result in the offeror being allowed to revise its proposal.

"In writing" or "written" means any worded or numbered expression which can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

"Proposal modification" is a change made to a proposal before the solicitation's closing date and time, or made in response to an amendment, or made to correct a mistake at any time before award.

"Proposal revision" is a change to a proposal made after the solicitation closing date, at the request of or as allowed by a Contracting Officer as the result of negotiations.

"Time," if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

(b) Amendments to solicitations. If this solicitation is amended, all terms and conditions that are not amended remain unchanged. Offerors shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(c) Submission, modification, revision, and withdrawal of proposals.

(1) Unless other methods (e.g., electronic commerce or facsimile) are permitted in the solicitation, proposals and modifications to proposals shall be submitted in paper media in sealed envelopes or packages (i) addressed to the office specified in the solicitation, and (ii) showing the time and date specified for receipt, the solicitation number, and the name and address of the offeror. Offerors using commercial carriers should ensure that the proposal is marked on the outermost wrapper with the information in paragraphs (c)(1)(i) and (c)(1)(ii) of this provision.

(2) The first page of the proposal must show--

(i) The solicitation number;

- (ii) The name, address, and telephone and facsimile numbers of the offeror (and electronic address if available);
  - (iii) A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item;
  - (iv) Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate on the offeror's behalf with the Government in connection with this solicitation; and
  - (v) Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
- (3) Late proposals and revisions.
- (i) Any proposal received at the office designated in the solicitation after the exact time specified for receipt of offers will not be considered unless it is received before award is made and--
    - (A) It was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been mailed by the 15th);
    - (B) It was sent by mail (or telegram or facsimile, if authorized) or hand-carried (including delivery by a commercial carrier) if it is determined by the Government that the late receipt was due primarily to Government mishandling after receipt at the Government installation;
    - (C) It was sent by U.S. Postal Service Express Mail Next Day Service-Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of proposals. The term "working days" excludes weekends and U.S. Federal holidays;
    - (D) It was transmitted through an electronic commerce method authorized by the solicitation and was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or
    - (E) There is acceptable evidence to establish that it was received at the activity designated for receipt of offers and was under the Government's control prior to the time set for receipt of offers, and the CO determines that accepting the late offer would not unduly delay the procurement; or

- (F) It is the only proposal received.
- (ii) Any modification or revision of a proposal or response to request for information, including any Final Proposal Revision (FPR), is subject to the same conditions as in subparagraphs (c)(3)(i)(A) through (c)(3)(i)(E) of this provision.
  - (iii) The only acceptable evidence to establish the date of mailing of a late proposal or modification or revision sent either by registered or certified mail is the U.S. or Canadian Postal Service postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the proposal, response to a request for information, or modification or revision shall be processed as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, offerors or respondents should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper.
  - (iv) Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.
  - (v) The only acceptable evidence to establish the date of mailing of a late offer, modification or revision, or withdrawal sent by Express Mail Next Day Service-Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service-Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. "Postmark" has the same meaning as defined in paragraph (c)(3)(iii) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, offerors or respondents should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper.
  - (vi) Notwithstanding paragraph (c)(3)(i) of this provision, a late modification or revision of an otherwise successful proposal that makes its terms more favorable to the Government will be considered at any time it is received and may be accepted.
  - (vii) Proposals may be withdrawn by written notice or telegram (including mailgram) received at any time before award. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision entitled "Facsimile Proposals." Proposals may be withdrawn in person by an offeror or an authorized

representative, if the representative's identity is made known and the representative signs a receipt for the proposal before award.

- (viii) If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation or other notice of an extension of the closing date, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume. If no time is specified in the solicitation, the time for receipt is 4:30 p.m., local time, for the designated Government office.
- (4) Unless otherwise specified in the solicitation, the offeror may propose to provide any item or combination of items.
- (5) Proposals submitted in response to this solicitation shall be in English and in U.S. dollars, unless otherwise permitted by the solicitation.
- (6) Offerors may submit modifications to their proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.
- (7) Offerors may submit revised proposals only if requested or allowed by the CO.
- (8) Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the CO.
- (d) Offer expiration date. Proposals in response to this solicitation will be valid for the number of days specified on the solicitation cover sheet (unless a different period is proposed by the offeror).
- (e) Restriction on disclosure and use of data. Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall--
  - (1) Mark the title page with the following legend: This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed--in whole or in part--for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of--or in connection with--the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]; and



- (2) Mark each sheet of data it wishes to restrict with the following legend: use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

(f) Contract award.

- (1) The Government intends to award a contract or contracts resulting from this solicitation to the responsible offeror(s) whose proposal(s) represents the best value after evaluation in accordance with the factors and subfactors in the solicitation.
- (2) The Government may reject any or all proposals if such action is in the Government's interest.
- (3) The Government may waive informalities and minor irregularities in proposals received.
- (4) The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a cost or price or technical standpoint. The Government reserves the right to conduct discussions if the CO later determines them to be necessary. If the CO determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the CO may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.
- (5) The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit cost or prices offered, unless the offeror specifies otherwise in the proposal.
- (6) The Government reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Government's best interest to do so.
- (7) Exchanges with offerors after receipt of a proposal do not constitute a rejection or counteroffer by the Government.
- (8) The Government may determine that a proposal is unacceptable if the prices proposed are materially unbalanced between line items or subline items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. A proposal may be rejected if the CO determines that the lack of balance poses an unacceptable risk to the Government.

- (9) If a cost realism analysis is performed, cost realism may be considered by the source selection authority in evaluating performance or schedule risk.
- (10) A written award or acceptance of proposal mailed or otherwise furnished to the successful offeror within the time specified in the proposal shall result in a binding contract without further action by either party.
- (11) The Government may disclose the following information in postaward debriefings to other offerors:
  - (i) The overall evaluated cost or price and technical rating of the successful offeror;
  - (ii) The overall ranking of all offerors, when any ranking was developed by the agency during source selection;
  - (iii) A summary of the rationale for award; and
  - (iv) For acquisitions of commercial items, the make and model of the item to be delivered by the successful offeror.

(End of provision)

## B. JUST IN TIME

This RFP contains special procedures for the submission of business management proposals. These special procedures are designed to reduce the administrative burden on offerors without compromising the information needed during the initial evaluation of proposals. Certain documents will no longer be required to be submitted with initial proposals, but will be requested at a later stage in the competitive process. Specifically, the travel policy, the annual financial statement, the total compensation plan, the subcontracting plan, and certain types of cost/pricing information will only be required to be at a later date. The special procedures for submission of this documentation are set forth in detail below:

**Travel Policy:** The offeror's (and any proposed subcontractor's) written travel policy shall not be submitted with the initial business proposal. All offerors included in the competitive range will be required to submit a travel policy as part of their FPR.

**Annual Report:** The offeror's most recent annual report shall not be submitted with the initial business proposal. All offerors included in the competitive range will be required to submit a copy of their most recent annual report as part of their FPR.

**Total Compensation Plan:** The offeror's total compensation plan shall not be submitted with the initial business proposal. All offerors included in the competitive range will be required to submit a total compensation plan as part of their FPR.

Subcontracting Plan: The offeror's Small, Small Disadvantaged, and Women-Owned Small Business Subcontracting Plan shall not be submitted with the original business proposal. Only the apparent successful offerors will be required to submit an acceptable subcontracting plan.

Cost Pricing Information: The offeror's business proposal shall include the basic cost/pricing information specified in Paragraph N, "Business Proposal Instructions" subparagraph 2, "Cost and Pricing Data" of this RFP. In addition, the government may require offerors included in the competitive range to submit additional information substantiating their proposed costs or prices. This additional cost/pricing information will be requested after establishment of the competitive range, and potentially includes payroll documentation, vendor quotes, invoice prices, and/or any other information deemed necessary by the contracting officer to evaluate the reasonableness of the price or to determine cost realism. (The information may also include submission and certification of cost or pricing data.)

#### C. SIC CODE AND SIZE STANDARD

Note: The following information is to be used by the offeror in preparing its Representations and Certifications, specifically in completing the provision entitled, SMALL BUSINESS PROGRAM REPRESENTATION (MAY 1999), FAR Clause 52.219-1.

1. The standard industrial classification (SIC) code for this acquisition is 8732/8733.
2. The small business size standard is \$5 Million.

**THIS REQUIREMENT IS NOT SET-ASIDE FOR SMALL BUSINESS. However, the Federal Acquisition Regulation (FAR) requires in every solicitation (except for foreign acquisitions), the inclusion of the Standard Industrial Classification (SIC) Code and corresponding size standard which best describes the nature of the requirement in the solicitation.**

#### D. NOTICE OF PRICE EVALUATION ADJUSTMENT FOR SMALL DISADVANTAGED BUSINESS CONCERNS

In accordance with FAR Clause 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns, incorporated in Attachment 5, RFP References, offerors will be evaluated by adding a factor of 10 percent to the price of all offers, except offers from small disadvantaged business concerns that have not waived the adjustment. (Note: A listing of other offerors who are excepted and will not have this evaluation factor added to their offer may be found in subparagraph (b) of FAR Clause 52.219-23, which can be found on-line at <http://www.arnet.gov/far/>)

A small disadvantaged business concern may elect to waive the adjustment, in which case the factor will be added to its offer for evaluation purposes. The agreements in paragraph (d) of FAR Clause 52.219-23 do not apply to offerors that waive the adjustment.

**AN OFFEROR WHO QUALIFIES FOR THE EVALUATION ADJUSTMENT BUT ELECTS TO WAIVE IT MUST SPECIFICALLY INDICATE WITH A STATEMENT TO THIS EFFECT ON THE COVER PAGE OF ITS BUSINESS PROPOSAL.**

**E. TYPE OF CONTRACT AND NUMBER OF AWARD(S)**

It is anticipated that one cost reimbursement, completion type award will be made from this solicitation and that the award will be made on/about 12/30/99.

**F . COMMITMENT OF PUBLIC FUNDS**

The CO is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed procurement. Any other commitment, either explicit or implied, is invalid.

**G . COMMUNICATIONS PRIOR TO CONTRACT AWARD**

Offerors shall direct all communications to the attention of the CO cited on the face page of this RFP. Communications with other officials may compromise the competitiveness of this acquisition and result in cancellation of the requirement.

**H . RELEASE OF INFORMATION**

Contract selection and award information will be disclosed to offerors in accordance with regulations applicable to negotiated acquisition. Prompt written notice will be given to unsuccessful offerors as they are eliminated from the competition, and to all offerors following award.

**I. COMPARATIVE IMPORTANCE OF PROPOSALS**

You are advised that paramount consideration shall be given to the evaluation of technical proposals. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price. However, the Government reserves the right to make an award to the best advantage of the Government, cost and other factors considered.

**J . PREPARATION COSTS**

This RFP does not commit the Government to pay for the preparation and submission of a proposal.

**K. SERVICE OF PROTEST (AUGUST 1996) – FAR 52.233-2**

Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting

Office (GAO), shall be served on the CO (addressed as follows) by obtaining written and dated acknowledgment of receipt from:

If hand-delivered or delivery service

National Institute of Mental Health  
Contracts Management Branch  
Attn: Contracting Officer  
6001 Executive Boulevard  
Room 6107, MSC 9603  
Rockville, Maryland 20852

If using U.S. Postal Service

National Institute of Mental Health  
Contracts Management Branch  
Attn: Contracting Officer  
6001 Executive Boulevard,  
Room 6107, MSC 9603  
Bethesda, Maryland 20892-9603

The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

**L. GOVERNMENT PROJECT OFFICER**

The Government Project Officer (GPO) and Alternate GPO are responsible for: (1) monitoring the Contractor's performance and recommending to the Contracting Officer changes in requirements; (2) interpreting the Statement of Work and any other technical performance requirements; (3) performing technical evaluation as required; (4) performing technical inspections and acceptances required by this contract; and (5) assisting in the resolution of technical problems encountered during performance.

The Contracting Officer (CO) is the only person with the authority to act as an agent of the Government under this contract. Only the CO has authority to: (1) direct or negotiate any changes in Statement of Work; (2) modify or extend the period of performance; (3) change the delivery schedule; (4) authorize reimbursement to the Contractor any costs incurred during the performance of this contract; or (5) otherwise change any terms and conditions of this contract.

**2. ELECTRONIC PROPOSAL SUBMISSION INSTRUCTIONS**

**M. HOW TO PREPARE AND SUBMIT AN ELECTRONIC PROPOSAL**

Proposals in response to this Request For Proposal (RFP) shall be submitted electronically over the Internet. Adequate security will be provided by using a dedicated server with access restricted through passwords. Following the initial phase of electronic submission by the offerors, proposals will be forwarded to the selected technical reviewers where they will be read and evaluated electronically. The technical review is designed so that a face-to-face meeting is not required and technical reviewers will access proposals via the Internet. Final Revised Proposals (FRPs) will also be submitted and reviewed electronically.

**IF YOU INTEND TO SUBMIT A PROPOSAL, IT IS ESSENTIAL THAT YOU SUBMIT THE PROPOSAL INTENT FORM. IF YOU FAIL TO SUBMIT THE FORM, YOU WILL NOT RECEIVE ADDITIONAL INSTRUCTIONS NECESSARY TO SUBMIT THE ELECTRONIC COPY OF YOUR PROPOSAL.**

## 1. ELECTRONIC SUBMISSION INSTRUCTIONS

- a. **GENERAL** --- To submit a proposal electronically under this RFP, Offerors will need to prepare the proposal on a word processor or spreadsheet program (for the cost portions) and convert them to Adobe Acrobat Portable Document Format (PDF). **THE TECHNICAL PROPOSAL AND BUSINESS PROPOSAL MUST BE CONTAINED ON SEPARATE FILES.** Further, to expedite the file transferring process, the two files must be named using the following DOS naming convention:

- Technical Proposal: c:\rfp\_\_\_\_\techprop.pdf
- Business Proposal: c:\rfp\_\_\_\_\busiprop.pdf

Approximately Two (2) weeks prior to the due date of proposals, all offerors will be provided with specific electronic access information and electronic proposal transmission instructions. For this reason, it is imperative that all offerors who are intending to submit a proposal in response to this RFP contact the Contracting Officer identified in this RFP by faxing or E-mailing the completed Proposal Intent Form by 3:30 p.m. local time, August 4, 1999.

**NOTE: There is no limit to the size (MB) of the two electronic PDF files to be submitted; however, the size of the technical proposal is limited to the page limitation language outlined below. For purposes of assessing compliance with the page count, technical proposals will be viewed using the print function of the Adobe Acrobat Reader, Version 3.0.**

- b. **ADDITIONAL SUGGESTIONS** --- Do not embed sound or video (e.g., MPEG) files into the proposal documents. The evaluation system will not incorporate a capability to read these files. Graphics which are embedded into documents should be kept as simple as possible. Complex graphics require longer periods for the computers used in the evaluation system to draw, and redraw these figures and scrolling through the document is slowed significantly. Suggestions include:
- Limit colors to 256 colors at 1024 x 768 resolution; avoid color gradients.
  - Simplify the color palette used in creating figures.
  - Be aware of how large these graphics files become. Large files are discouraged.
  - Limit scanned images as much as possible.
- c. **PAGE LIMITS** -- The Technical Proposal is limited to 100 pages. Pages in excess of the maximum will be deleted and will not be read or evaluated. A transmittal letter may be used to forward proposals to the Contracting Officer and will not count against the page count. Please note that no page limit has been placed on the contents of the Business Proposal.

Type density and size must be 10 to 12 points. If constant spacing is used, there should be no more than 15 cpi, whereas proportional spacing should provide an average of no more than 15 cpi. There must be no more than six lines of text within a vertical inch. Margins must be set to 1 inch around.

Technical Proposal and Business Proposal preparation instructions along with proposal table of contents are detailed below.

## 2. TECHNICAL PROPOSAL INSTRUCTIONS

- a. GENERAL --- The entire technical proposal, except as noted below in the "Technical Proposal Table of Contents", is to be submitted electronically. The STANDARD RFP INSTRUCTIONS AND PROVISIONS provide more detail on the TECHNICAL PROPOSAL requirements.

- b. TECHNICAL PROPOSAL TABLE OF CONTENTS/FORMAT

*(NOTE: Instructions to offerors are indicated in parentheses or as footnotes.)*

1. TECHNICAL PROPOSAL COVER SHEET ..... Page 1
2. TECHNICAL PROPOSAL TABLE OF CONTENTS ..... Page 2
3. SUMMARY OF OBJECTIVES AND METHODS (Abstract)\*... Page 3
4. TECHNICAL PLAN (Refer to Technical Proposal Instructions located in the Standard RFP Instructions and Provisions.)

### STATEMENT OF WORK

1. Objectives ..... Page 4
2. Approach ..... \_\_\_\_\_
3. Methods ..... \_\_\_\_\_
4. Schedule ..... \_\_\_\_\_

PERSONNEL (List by name, title, department and organization, and detail each person's qualifications and role in the Project.)

Provide narrative for:

1. Principal Investigator/Project Director
2. Other Investigators
3. Additional Personnel, (e.g., technical support, subcontractors, consultants)

*(Note: For key personnel, include 2 page biosketch/resume and the form entitled "Summary of Current and Proposed Activities.") -- Page \_\_\_\_\_*

5. FACILITIES/RESOURCES AND DIRECT COSTS (List/describe all equipment, facilities and other resources available for this project; attach "Technical Proposal Cost Information" form, and marked laboratory/clinical space floor plan in Item 6.)-- Page \_\_\_\_\_

Note: In completing this form, do not include labor rates, total labor dollars, total labor dollars associated with individuals or individual labor categories, indirect costs to include fringe benefits, overhead, and general and administrative, fixed fee, total costs or indirect cost elements for subcontracts. **If the aforementioned cost elements are included in this form, the form will be removed from the technical proposal.**

6. OTHER CONSIDERATIONS (Provide brief narrative of any unique arrangements, safety procedures in place, animal welfare issues, human subject and minority and gender issues, etc.)-- Page \_\_\_\_
7. HUMAN SUBJECTS, PARTICIPATION OF CHILDREN AND MINORITY AND GENDER ISSUES NOT OTHERWISE ADDRESSED (IF APPLICABLE) -- Page \_\_\_\_
8. VERTEBRATE ANIMALS (IF APPLICABLE) -- Page \_\_\_\_
9. "Technical Proposal Cost Information" summary spreadsheet -- Page \_\_\_\_
10. LITERATURE CITED -- Page \_\_\_\_
11. APPENDICES\*\* (Protocols, policy manuals, etc. for above Technical Plan; list each Appendix; Appendices must be clear and legible, and easily located.)

*\* State the proposal's broad, long-term objectives and specific aims. Describe concisely the research design and methods for achieving these goals. DO NOT EXCEED ONE PAGE in providing the abstract. Identify the RFP number, institution, and Principal Investigator on the abstract.*

*\*\* HARDCOPY SUBMISSION OF APPENDICES: The following items are excluded from our electronic submission requirement and will not be subject to page limitations. Instead all Offerors may submit eleven (11) paper copies of the information.*

- *Complete SOPs; any other pertinent policy manuals; any letters of collaboration from other investigators; nonscannable figures or data and; CV's for all professional or technical personnel (other than Key Personnel).*

### 3. INSTRUCTIONS TO OFFERORS

#### M. GENERAL INSTRUCTIONS

The following instructions will establish the acceptable minimum requirements for the format and contents of proposals. Special attention is directed to the requirements for technical and business proposals to be submitted in accordance with these instructions. Also, please note that the technical proposal must be organized and presented in accordance with the "Technical Proposal Instructions ".

#### (1) **Type Contract and General Clauses**

It is contemplated that a cost-reimbursement/completion type contract will be awarded. (See General Information). Any resultant contract shall include the clauses applicable to the selected offeror's organization and type of contract awarded as required by Public Law, Executive Order, or acquisition regulations in effect at the time of execution of the proposed contract.



**(2) Authorized Official and Submission of Proposal**

The Hardcopy of the proposal must be signed by an official authorized to bind your organization and must stipulate that it is predicated upon all the terms and conditions of this RFP. Your proposal shall be submitted to the address in the attached solicitation cover letter, and marked as indicated below. Proposals will be typewritten, paginated, reproduced on letter size paper and will be legible in all required copies. To expedite the proposal evaluation, all documents required for responding to the RFP should be placed in the following order:

**(a) TECHNICAL PROPOSAL COVER SHEET**

Include RFP number, title, name of organization, name of Principal Investigator, names of other offeror key personnel, name of any subcontractor(s) and their proposed Principal Investigator(s), names of any collaborators or consultants, and indicate whether the proposal is an original or a copy.

**(b) TECHNICAL PROPOSAL**

Format and organization of the technical proposal must follow the Table of Contents, and must include the information requested in the Technical Proposal Instructions and as otherwise specified in the APPLICABLE RFP REFERENCES (ATTACHMENT 5).

**(c) BUSINESS PROPOSAL**

It is recommended that the business proposal consist of a cover page, a table of contents, and the information requested in the Business Proposal Instructions and as otherwise specified in the APPLICABLE RFP REFERENCES (ATTACHMENT 5).

**(3) Proposal Summary and Data Record (NIH-2043)**

The Offeror must complete the Form NIH-2043, attached, with particular attention to the length of time the proposal is firm and the designation of those personnel authorized to conduct negotiations. (See Attachment 5).

**(4) Separation of Technical and Business Proposals**

The proposal must be prepared in two parts: a "Technical Proposal" and a "Business Proposal." Each of the parts shall be separate and complete in itself so that evaluation of one may be accomplished independently of, and concurrently with, evaluation of the other. The technical proposal must include direct resource information, such as labor-hours and categories. The technical proposal should not include pricing data relating to individual salary information, indirect cost rates or amounts, fee amounts (if any), and

total costs. The technical proposal should disclose your technical approach in as much detail as possible, including, but not limited to, the requirements of the technical proposal instructions.

(5) **Alternate Proposals**

You may, at your discretion, submit alternate proposals, or proposals which deviate from the requirements; provided, that you also submit a proposal for performance of the work as specified in the statement of work. Such proposals may be considered if overall performance would be improved or not compromised and if they are in the best interests of the Government. Alternative proposals, or deviations from any requirements of this RFP, shall be clearly identified.

(6) **Confidentiality of Proposals (HHSAR 352.215-12, Restriction on Disclosure and Use of Data (April 1984))**

The proposal submitted in response to this RFPs may contain data (trade secrets; business data, e.g., commercial information, financial information, and cost and pricing data; and technical data) which the offeror, including its prospective subcontractor(s), does not want used or disclosed for any purpose other than for evaluation of the proposal. The use and disclosure of any data may be so restricted; provided, that the Government determines that the data is not required to be disclosed under the Freedom of Information Act, 5 U.S.C. 552, as amended, and the offeror marks the cover sheet of the proposal with the following legend, specifying the particular portions of the proposal which are to be restricted in accordance with the conditions of the legend. The Government's determination to withhold or disclose a record will be based upon the particular circumstances involving the record in question and whether the record may be exempted from disclosure under the Freedom of Information Act:

Unless disclosure is required by the Freedom of Information Act, 5 U.S.C. 552, as amended, (the Act) as determined by Freedom of Information (FOI) Officials of the Department of Health and Human Services, data contained in the portions of this proposal which have been specifically identified by page number, paragraph, etc. by the offeror as containing restricted information shall not be used or disclosed except for evaluation purposes.

The offeror acknowledges that the Department may not be able to withhold a record (data, document, etc.) nor deny access to a record requested pursuant to the Act, and that the Department's FOI officials must make that determination. The offeror hereby agrees that the Government is not liable for disclosure if the Department has determined that disclosure is required by the Act.

If a contract is awarded to the offeror as a result of, or in connection with, the submission of this proposal; the Government shall have the right to use or disclose the data to the extent provided in the contract. Proposals not resulting in a contract remain subject to the Act.

The offeror also agrees that the Government is not liable for disclosure or use of unmarked data and may use or disclose the data for any purpose, including the release of the information pursuant to requests under the Act.

The data subject to this restriction are contained in pages (insert page numbers, paragraph designations, etc. or other identification).

In addition, the offeror should mark each page of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this page is subject to the restriction on the cover sheet of this proposal."

NOTE: Offerors are cautioned that proposals submitted with the restrictive legends or statements differing in substance from the above legend may not be considered for award. The Government reserves the right to reject any proposal submitted with a nonconforming legend.

(7) **Evaluation of Proposals**

The Government will evaluate technical proposals in accordance with the criteria set forth in Attachment 3, Evaluation Factors for Award.

(8) **Potential Award Without Discussions**

The Government reserves the right to award a contract without discussions if the CO determines that the initial prices are fair and reasonable and that discussions are not necessary.

(9) **Use of the Metric System of Measurement**

It is the policy of the Department of Health and Human Services to support the Federal transition to the metric system and to use the metric system of measurement in all procurements, grants, and other business related activities unless such use is impracticable or is likely to cause significant inefficiencies.

The offeror is encouraged to prepare their proposal using either "Hard Metric," "Soft Metric," or "Dual Systems" of measurement. The following definitions are provided for your information:

Hard Metric - The replacement of a standard inch-pound size with an accepted metric size for a particular purpose. An example of size substitution might be: selling or packaging liquids by the liter instead of by the pint or quart (as for soft drinks), or instead of by the gallon(as for gasoline).

Soft Metric - The result of a mathematical conversion of inch-pound measurements to metric equivalents for a particular purpose. The physical characteristics are not changed.

Dual Systems - The use of both inch-pound and metric systems. For example, an item is designed, produced, and described in inch-pound values with soft metric values also shown for information or comparison purposes.

(10) **Privacy Act**

The Privacy Act of 1974 (P.L. 93-579) requires that a Federal agency advise each individual whom it asks to supply information, the authority which authorizes the solicitation, whether disclosure is voluntary or mandatory, the principal purpose or purposes for which the information is intended to be used, the uses outside the agency which may be made of the information, and the effects on the individual, if any, of not providing all or any part of the requested information.

The NIH is requesting the information called for in this RFP pursuant to the authority provided by Sec. 301(a)(7) of the Public Health Service Act, as amended, and, as applicable, P.L. 92-218, as amended. Providing the information requested is entirely voluntary. The collection of this information is for the purpose of conducting an accurate, fair, and adequate review prior to a discussion as to whether to award a contract. Failure to provide any or all of the requested information may result in a less than adequate review. In addition, the Privacy Act of 1974 (P.L. 93-579, Section 7) requires that the following information be provided when individuals are requested to disclose their social security number.

Provision of the social security number is voluntary. Social security numbers are requested for the purpose of accurate and efficient identification, referral, review and management of NIH contracting programs. Authority for requesting this information is provided by Section 301 and Title IV of the PHS Act, as amended. The information provided by you may be routinely disclosed for the following purposes:

to the cognizant audit agency and the General Accounting Office for auditing.  
to the Department of Justice as required for litigation.  
to respond to congressional inquiries.  
to qualified experts, not within the definition of Department employees, for opinions as a part of the review process.

(11) **Selection of Offerors**

- (a) Technical proposals will be evaluated by an independent technical review panel. They will evaluate each proposal in strict conformity with the evaluation criteria of the RFP, utilizing point scores and written critiques. The panel may suggest that the CO request clarifying information from an offeror.

- (b) The business portion of each contract proposal will be subjected to a cost realism and price analysis, management analysis, etc.
- (c) If award will be made without conducting discussions, offerors may be given the opportunity to clarify certain aspects of their proposal or to resolve minor or clerical errors.
- (d) The primary basis for selecting proposals for award shall be: (1) results of the scientific evaluations; (2) program relevance, balance and priority; (3) availability of funds; and (4) cost realism. All aspects of the proposals are subject to discussions, including cost, technical approach, and contractual terms and conditions. At the conclusion of discussions, each offeror selected for award shall be given an opportunity to submit a written FPR with the reservation of the right to conduct limited negotiations in accordance with HHSAR 315.670.
- (e) Best Value Analysis: Although meeting the evaluation criteria and results of the scientific evaluations are significant in the selection of a contractor under this RFP, a final best-buy analysis may be performed, taking into consideration the results of the technical evaluation, cost/price analyses, and ability to complete the work within the Government's required schedule, as appropriate. The Government reserves the right to make an award to the source whose proposal offers the best advantage to the Government, technical merit, cost/price and other factors considered.
- (f) The Government reserves the right to make a single award, multiple awards, or no award at all to the RFP. In addition, the RFP may be amended or canceled as necessary to meet Government requirements. Synopses of awards exceeding \$25,000 and offering subcontracting opportunities will be published in the Commerce Business Daily.

**(12) Reimbursement of Costs for Independent Research and Development Projects (Commercial Organizations Only)**

The primary purpose of the Public Health Service (PHS) is to support and advance independent research within the scientific community. This support is provided in the form of contracts and grants totaling approximately 7 billion dollars annually. PHS has established effective, time tested and well recognized and accepted procedures for stimulating and supporting this independent research by selecting from multitudes of proposals those research projects most worthy of support within the constraints of its appropriations. The reimbursement of independent research and development costs not incidental to product improvement, through the indirect cost mechanism, would circumvent this competitive process.

To ensure that all research and development projects receive similar and equal consideration, all offerors may compete for direct funding for independent research and development projects they consider worthy of support by submitting those projects to the

appropriate Public Health Service grant and/or contract office for review. Since these projects may be submitted for direct funding, the successful offeror agrees that no costs for any independent research and development project, including applicable indirect costs, will be claimed under any contract resulting from this solicitation.

**(13) Salary Rate Limitation in Fiscal Year 1999**

Offerors are advised that pursuant to P.L. 105-277, no NIH Fiscal Year 1999 (October 1, 1998 - September 30, 1999) funds may be used to pay the direct salary of an individual through any contract awarded as a result of this solicitation at a rate in excess of \$125,900 per year (direct salary is exclusive of Overhead, Fringe Benefits and General and Administrative expenses). This does not preclude the offeror from absorbing that portion of an employee's salary (plus the dollar amount for fringe benefits and associated indirect costs) that exceeds a rate of \$125,900 per year. The salary rate limitation set by P.L. 105-277 applies only to Fiscal Year 1999 funds, however, salary rate ceilings for subsequent years may be included in future DHHS appropriation acts. Multi-year contracts awarded pursuant to this solicitation may be subject to unilateral modifications by the Government if an individual's salary exceeds any salary rate ceiling established in future appropriations acts. The \$125,900 per year salary rate limit also applies to individuals proposed under subcontracts. P.L. 105-277 states in pertinent part:

"None of the funds appropriated in this title for the National Institutes of Health and the Substance Abuse, and Mental Health Services Administration shall be used to pay the salary of an individual through a grant or extramural mechanism at a rate in excess of \$125,900 per year."

**(14) Institutional Responsibility Regarding Conflicting Interests of Investigators**

EACH INSTITUTION MUST:

- (a) Maintain an appropriate written, enforced policy on conflict of interest that complies with 42 CFR Part 50 Subpart F and/or 45 CFR Part 94 as appropriate and inform each investigator of the Institution's policy, the Investigator's reporting responsibilities, and the applicable regulations. If the Institution carries out the NIH funded research through subgrantees, contractors or collaborators, the Institution must take reasonable steps to ensure that Investigators working for such entities comply with the regulations, either by requiring those investigators to comply with the Institution's policy or by requiring the entities to provide assurances to the Institution that will enable the Institution to comply with the regulations.
- (b) Designate an Institutional official(s) to solicit and review financial disclosure statements from each Investigator who is planning to participate in NIH-funded research.

- (c) Require that by the time an application/proposal is submitted to the NIH each investigator who is planning to participate in the NIH-funded research has submitted to the designated official(s) a listing of his/her known Significant Financial Interests (and those of his/her spouse and dependent children): (i) that would reasonably appear to be affected by the research for which the NIH funding is sought; and (ii) in entities whose financial interests would reasonably appear to be affected by the research. All financial disclosures must be updated during the period of the award, either on an annual basis or as new reportable Significant Financial Interests are obtained.
- (d) Provide guidelines consistent with the regulations for the designated official(s) to identify conflicting interests and take such actions as necessary to ensure that such conflicting interests will be managed, reduced, or eliminated.
- (e) Maintain records, identifiable to each award, of all financial disclosures and all actions taken by the institution with respect to each conflicting interest for: (1) in the case of grants, at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR Part 74.53(b) and (2) in the case of contracts, 3 years after final payment or, where applicable, for the other time period specified in 48 CFR Part 4 Subpart 4.7, Contract Records Retention.
- (f) Establish adequate enforcement mechanisms and provide for sanctions where appropriate.
- (g) Certify, in each application/proposal for funding to which the regulations applies, that:
  - (1) there is in effect at the Institution a written and enforced administrative process to identify and manage, reduce or eliminate conflicting interests with respect to all research projects for which funding is sought from the NIH;
  - (2) prior to the Institution's expenditure of any funds under the award, the Institution will report to the awarding component the existence of a conflicting interest (but not the nature of the interest or other details) found by the Institution and assure that the interest has been managed, reduced or eliminated in accord with the regulations; and for any interest that the Institution identifies as conflicting subsequent to the expenditure of funds after award, the report will be made and the conflicting interest managed, reduced, or eliminated, at least on a temporary basis within sixty days of that identification;
  - (3) the Institution agrees to make information available, upon request, to the awarding component regarding all conflicting interests identified by the Institution and how those interested have been managed, reduced, or eliminated to protect the research from bias; and

(4) the Institution will otherwise comply with the regulations.

(h) Institutional Management of Conflicting Interests

(1) The designated official(s) must: (i) review all financial disclosures; and(ii) determine whether conflict of interest exists, and if so, determine what actions should be taken by the Institution to manage, reduce or eliminate such conflict of interest. A conflict of interest exists when the designated official(s) reasonably determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of the NIH-funded research. Examples of conditions or restrictions that might be imposed to manage actual or potential conflicts of interests include, but are not limited to:

- i. public disclosure of significant financial interests;
- ii. monitoring of research by independent reviewers;
- iii. modification of the research plan;
- iv. disqualification of the Investigator(s) from participation in all or a portion of the research funded by the awarding component;
- v . divestiture of significant financial interests; or
- vi. severance of relationships that create actual or potential conflicts of interests.

(2) An Institution may require the management of other conflicting financial interests in addition to those described in paragraph (a) of this section, as the Institution deems appropriate.

(15) **ROTC Access and Federal Military Recruiting on Campus**

Section 514 of the FY 1997 Appropriations Act prohibits NIH from providing contract funds to educational institutions that the Secretary of Defense determines have a policy or practice (regardless of when implemented) that either prohibits, or in effect prevents (1) the maintaining, establishing, or operation of a unit of the Senior Reserve Officer Training Corps at the covered education entity; or (2) a student at the covered educational entity from enrolling in a unit of the Senior Reserve Officer Training Corps at another institution of higher education.

Further, contract funds may not be provided to educational institutions that have a policy or practice that prohibits or prevents (i) entry to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of Federal military recruiting; or (ii) access by military recruiters for purposes of Federal military recruiting to information pertaining to students (who are 17 years of age or older) enrolled at the covered educational entity.

(16) **HUBZone Small Business Concerns**

Small Business Offerors located in underutilized business zones, called “HUBZones,” will be evaluated in accordance with FAR Clause 51.219-4, NOTICE OF PRICE



EVALUATION PREFERENCE FOR HUBZONE SMALL BUSINESS CONCERNS, which is incorporated by reference in ARTICLE I.3, of this solicitation. Qualified HUBZone firms are identified in the Small Business Administration website at <http://www.sba.gov/hubzone>

**AN OFFEROR WHO QUALIFIES FOR THE EVALUATION PREFERENCE BUT ELECTS TO WAIVE IT, MUST SPECIFICALLY INDICATE WITH A STATEMENT TO THE EFFECT ON THE COVER PAGE OF ITS BUSINESS PROPOSAL.**

**(17) Solicitation Provisions Incorporated by Reference, FAR 52.252-1 (February 1998)**

This Solicitation incorporates the following solicitation provisions by reference with the same force and effect as if they were given in full text. Upon request, the CO will make their full text available.

FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1):

- a. Submission of Offers in the English Language, FAR Clause 52.214-34, (April 1991).
- b. Submission of Offers in U.S. Currency, FAR Clause 52.214-35, (April 1991).
- c. Order of Precedence - Uniform Contract Format, FAR Clause 52.215-8 (October 1997)
- d. Facilities Capital Cost of Money, FAR Clause 52.216-16, (October 1997)
- e. Preaward On-Site Equal Opportunity Compliance Evaluation, FAR Clause 52.222-24, (February 1999)
- f. Requirements for Cost or Pricing Data or Information Other Than Cost or Pricing Data, FAR 52.215-20 (October 1997)

**(18) Solicitation Provisions Incorporated in Full Text**

**a. 52.219-24 Small Disadvantaged Business Participation Program—Targets, FAR Clause 52.219-24 (Jan 1999)**

(a) This solicitation contains a source selection factor or subfactor related to the participation of small disadvantaged business (SDB) concerns in the contract. Credit under that evaluation factor or subfactor is not available to an SDB concern that qualifies for a price evaluation adjustment under the clause at FAR 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns, unless the SDB concern specifically waives the price evaluation adjustment.

(b) In order to receive credit under the source selection factor or subfactor, the offeror must provide, with its offer, targets, expressed as dollars and percentages of total contract value, for SDB participation in any of the Standard Industrial Classification (SIC) Major Groups as determined by the Department of Commerce. The targets may provide for participation by a prime contractor, joint venture partner, teaming arrangement member, or subcontractor; however, the targets for subcontractors must be listed separately.

(End of Provision)

**b. Small Disadvantaged Business Participation Program-Disadvantaged Status and Reporting, FAR Clause 52.219-25 (Jan 1999)**

(a) Disadvantaged status for joint venture partners, team members, and subcontractors. This clause addresses disadvantaged status for joint venture partners, teaming arrangement members, and subcontractors and is applicable if this contract contains small disadvantaged business (SDB) participation targets. The Contractor shall obtain representations of small disadvantaged status from joint venture partners, teaming arrangement members, and subcontractors through use of a provision substantially the same as paragraph (b)(1)(i) of the provision at FAR 52.219-22, Small Disadvantaged Business Status. The Contractor shall confirm that a joint venture partner, team member, or subcontractor representing itself as a small disadvantaged business concern is included in the SBA's on-line list of SDBs at <http://www.sba.gov> or by contacting the SBA's Office of Small Disadvantaged Business Certification and Eligibility.

(b) Reporting requirement. If this contract contains SDB participation targets, the Contractor shall report on the participation of SDB concerns at contract completion, or as otherwise provided in this contract. Reporting may be on Optional Form 312, Small Disadvantaged Business Participation Report, or in the Contractor's own format providing the same information. This report is required for each contract containing SDB participation targets. If this contract contains an individual Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan, reports may be submitted with the final Subcontracting Report for Individual Contracts (Standard Form 294) at the completion of the contract.

(End of clause)

**N. TECHNICAL PROPOSAL INSTRUCTIONS**

A detailed work plan must be submitted for each proposed objective indicating how each aspect of the objective is to be accomplished. Your technical proposal should be in as much detail as you consider necessary to fully explain your proposed technical approach and methodology. The technical proposal should reflect a clear understanding of the nature of the work being undertaken and must include information on how the project is to be organized, staffed, and managed. The Technical Proposal should be organized and presented as stated below.

**(a) Statement of Work**

**(1) Objectives**

State the overall objectives and the specific accomplishments you hope to achieve. Indicate the rationale for your plan, and relation to comparable work in progress elsewhere. Review pertinent work already published which is relevant to this project and your proposed approach. This should support the scope of the project as you perceive it.

## (2) Approach

Use as many subparagraphs, appropriately titled, as needed to clearly outline the general plan of work. Discuss phasing of research and, if appropriate, include experimental design and possible or probable outcome of approaches proposed.

## (3) Methods

Describe in detail the methodologies you will use for the project, indicating your level of experience with each, areas of anticipated difficulties, and any unusual expenses you anticipate.

## (4) Schedule

Provide a schedule for completion of the work and delivery of items specified in the Statement of Work. Performance or delivery schedules shall be indicated for phases or segments, as applicable, as well as for the overall program. Schedules shall be shown in terms of calendar months from the date of authorization to proceed or, where applicable, from the date of a stated event, as for example, receipt of a required approval by the CO. Unless the RFP indicates that the stipulated schedules are mandatory, they shall be treated as desired or recommended schedules. In this event, proposals based upon the offeror's best alternative schedule, involving no overtime, extra shift or other premium, will be accepted for consideration.

(b) **Personnel**

Describe the experience and qualifications of personnel who will be assigned for direct work on this program. Information is required which will show the composition of the task or work group, its general qualifications, and recent experience with similar equipment or programs. Special mention shall be made of direct technical supervisors and key technical personnel, and the approximate percentage of the total time each will be available for this program.

OFFERORS SHOULD ASSURE THAT THE PRINCIPAL INVESTIGATOR, AND ALL OTHER PERSONNEL PROPOSED, SHALL NOT BE COMMITTED ON FEDERAL GRANTS AND CONTRACTS FOR MORE THAN A TOTAL OF 100% OF THEIR TIME. IF THE SITUATION ARISES WHERE IT IS DETERMINED THAT A PROPOSED EMPLOYEE IS COMMITTED FOR MORE THAN 100% OF HIS OR HER TIME, THE GOVERNMENT WILL REQUIRE ACTION ON THE PART OF THE OFFEROR TO CORRECT THE TIME COMMITMENT.

## (1) Principal Investigator/Project Director

List the name of the Principal Investigator/Project Director responsible for overall implementation of the contract and key contact for technical aspects of the project. Even though there may be co-investigators, identify the Principal Investigator/Project Director who will be responsible for the overall implementation of any awarded contract. Discuss the qualifications, experience, and accomplishments of the Principal Investigator/Project Director. State the estimated time to be spent on the project, his/her proposed duties, and the areas or phases for which he/she will be responsible. If the Principal Investigator proposed for this RFP is committed in excess of 100% of his/her time the proposal must include appropriate explanations.

(2) Other Investigators

List all other investigators/professional personnel who will be participating in the project. Discuss the qualifications, experience, and accomplishments. State the estimated time each will spend on the project, proposed duties on the project, and the areas or phases for which each will be responsible.

(3) Additional Personnel

List names, titles, and proposed duties of additional personnel, if any, who will be required for full-time employment, or on a subcontract or consultant basis. The technical areas, character, and extent of subcontract or consultant activity will be indicated and the anticipated sources will be specified and qualified. For all proposed personnel who are not currently members of the offeror's staff, a letter of commitment or other evidence of availability is required. A resume does not meet this requirement. Commitment letters for use of consultants and other personnel to be hired must include:

- The specific items or expertise they will provide.
- Their availability to the project and the amount of time anticipated.
- Willingness to act as a consultant.
- How rights to publications and patents will be handled.

(4) Resumes

Resumes of all personnel who will serve in a professional or technical capacity. Each must indicate educational background, recent experience, specific or technical accomplishments, and a listing of relevant publications. Resumes must not exceed two pages.

**(c) Facilities and Resources**

List/describe all facilities and resources available for this project, including any equipment.

**In accordance with FAR 39.106, Information Technology acquired under this contract must be Year 2000 compliant as set forth in the following clause:**

**The Contractor agrees that each item of hardware, software, and firmware used under this contract shall be able to accurately process date data (including, but not limited to, calculating, comparing, and sequencing) from, into and between the twentieth and twenty-first centuries and Year 1999 and Year 2000 and leap year calculations.**

**(d) Other Considerations**

Record and discuss specific factors not included elsewhere which support your proposal. Using specifically titled subparagraphs, items may include:

- (1) Any agreements and/or arrangements with subcontractor(s). Provide as much detail as necessary to explain how the Statement of Work will be accomplished within this working relationship.
- (2) Unique arrangements which none or very few organizations are likely to have which is advantageous for effective implementation of this project.
- (3) Equipment and unusual operating procedures established to protect personnel from hazards associated with this project.
- (4) Other factors you feel are important and support your proposed research.
- (5) Recommendations for changing reporting requirements or other deliverables if such changes would be more compatible with the offeror's proposed schedules.

**(e) Summary of Related Activities**

The offeror shall complete and include with the technical proposal the "Summary of Current and Proposed Activities" form found in, [FORMS, FORMATS, AND ATTACHMENTS. http://www4.od.nih.gov/ocm/contracts/rfps/forms1.htm](http://www4.od.nih.gov/ocm/contracts/rfps/forms1.htm) Include this form with the Other Considerations portion of your technical proposal.

**(f) Technical Evaluation**

Proposals will be technically evaluated in accordance with the factors, weights, and order of relative importance as set forth in the Evaluation Factors for Award (Attachment 3).

(g) **Additional Technical Proposal Information**

- (1) Proposals which merely offer to conduct a program in accordance with the requirements of the Government's scope of work will not be eligible for award. The offeror must submit an explanation of the proposed technical approach in conjunction with the tasks to be performed in achieving the projects objectives.
- (2) The technical evaluation is conducted in accordance with the weighted technical evaluation criteria for each objective by a technical review panel. This evaluation produces a numerical score (points) and assessment as to whether the proposal is technically acceptable or unacceptable. The technical evaluation shall be based solely upon the information contained in the offeror's proposal.

O. **BUSINESS PROPOSAL INSTRUCTIONS**

1. **Basic Cost/Price Information**

The business proposal must contain sufficient information to allow the Government to perform a basic analysis of the proposed cost or price of the work. This information shall include the amounts of the basic elements of the proposed cost or price. These elements will include, as applicable, direct labor, fringe benefits, travel, materials, subcontracts, purchased parts, shipping, indirect costs and rate, fee, and profit.

2. **Cost and Pricing Data**

(a) **General Instructions**

(1) You must provide the following information on the first page of your pricing proposal:

- (i) Solicitation, contract, and/or modification number;
- (ii) Name and address of offeror;
- (iii) Name and telephone number of point of contact;
- (iv) Name of contract administration office (if available);
- (v) Type of contract action (that is, new contract, change order, price revision/redetermination, letter contract, unpriced order, or other);
- (vi) Proposed cost; profit or fee; and total;
- (vii) Whether you will require the use of Government property in the performance of the contract, and, if so, what property;
- (viii) Whether your organization is subject to cost accounting standards; whether your organization has submitted a CASB Disclosure Statement, and if it has been determined adequate; whether you have been notified that you are or may be in noncompliance with your Disclosure Statement

or CAS, and, if yes, an explanation; whether any aspect of this proposal is inconsistent with your disclosed practices or applicable CAS, and, if so, an explanation; and whether the proposal is consistent with your established estimating and accounting principles and procedures and FAR Part 31, Cost Principles, and, if not, an explanation;

(ix) The following statement: This proposal reflects our estimates and/or actual costs as of this date and conforms with the instructions in FAR15.403-5(b)(1) and Table 15-2. By submitting this proposal, we grant the CO and authorized representative(s) the right to examine, at any time before award, those records, which include books, documents, accounting procedures and practices, and other data, regardless of type and form or whether such supporting information is specifically referenced or included in the proposal as the basis for pricing, that will permit an adequate evaluation of the proposed price;

(x) Date of submission; and

(xi) Name, title and signature of authorized representative.

- (b) In submitting your proposal, you must include an index, appropriately referenced, of all the cost or pricing data and information accompanying or identified in the proposal. In addition, you must annotate any future additions and/or revisions, up to the date of agreement on price, or an earlier date agreed upon by the parties, on a supplemental index.
- (c) As part of the specific information required, you must submit, with your proposal, cost or pricing data (that is, data that are verifiable and factual and otherwise as defined at FAR 15.401). You must clearly identify on your cover sheet that cost or pricing data are included as part of the proposal. In addition, you must submit with your proposal any information reasonably required to explain your estimating process, including--
  - (1) The judgmental factors applied and the mathematical or other methods used in the estimate, including those used in projecting from known data; and
  - (2) The nature and amount of any contingencies included in the proposed price.
- (d) You must show the relationship between contract line item prices and the total contract price. You must attach cost-element breakdowns for each proposed research objective, using the appropriate format prescribed in the "Formats for Submission of Line Item Summaries" (see paragraph 3 below). You must furnish supporting breakdowns for each cost element, consistent with your cost accounting system.
- (e) When more than one contract line item is proposed, you must also provide summary total amounts covering all line items for each element of cost.

- (f) Whenever you have incurred costs for work performed before submission of a proposal, you must identify those costs in your cost/price proposal.
- (g) If you have reached an agreement with Government representatives on use of forward pricing rates/factors, identify the agreement, include a copy, and describe its nature.
- (h) As soon as practicable after final agreement on price or an earlier date agreed to by the parties, but before the award resulting from the proposal, you must, under the conditions stated in FAR 15.406-2, submit a Certificate of Current Cost or Pricing Data.

### 3. **Cost Elements**

Depending on your system, you must provide breakdowns for the following basic cost elements, as applicable:

#### (a) **Direct Labor**

Provide a time-phased (e.g. monthly, quarterly, etc.) breakdown of labor hours, rates, and cost by appropriate category, and furnish basis for estimates.

#### (b) **Fringe Benefits**

Show fringe benefits as a separate line item. Include the rates(s) and/or method of calculating fringe benefits. Provide a copy of your fringe benefit rate or organizational guidelines.

#### (c) **Materials and services**

Provide a consolidated priced summary of individual material quantities included in the various tasks, orders, or contract line items being proposed and the basis for pricing (vendor quotes, invoice prices, etc.). Include raw materials, parts, components, assemblies, and services to be produced or performed by others. For all items proposed, identify the item and show the source, quantity, and price. Conduct price analyses of all subcontractor proposals. Conduct cost analyses for all subcontracts when cost or pricing data are submitted by the subcontractor. Include these analyses as part of your own cost or pricing data submissions for subcontracts expected to exceed the appropriate threshold in FAR 15.403-4. Submit the subcontractor cost or pricing data as part of your own cost or pricing data as required in paragraph 2.A(2) of this table. These requirements also apply to all subcontractors if required to submit cost or pricing data.



(1) Adequate Price Competition. Provide data showing the degree of competition and the basis for establishing the source and reasonableness of price for those acquisitions (such as subcontracts, purchase orders, material order, etc.) exceeding, or expected to exceed, the appropriate threshold set forth at FAR 15.403-4 priced on the basis of adequate price competition. For interorganizational transfers priced at other than the cost of comparable competitive commercial work of the division, subsidiary, or affiliate of the contractor, explain the pricing method (see FAR31.205-26(e)).

(2) All Other. Obtain cost or pricing data from prospective sources for those acquisitions (such as subcontracts, purchase orders, material order, etc.) exceeding the threshold set forth in FAR 15.403-4 and not otherwise exempt, in accordance with FAR 15.403-1(b) (i.e., adequate price competition, commercial items, prices set by law or regulation or waiver). Also provide data showing the basis for establishing source and reasonableness of price. In addition, provide a summary of your cost analysis and a copy of cost or pricing data submitted by the prospective source in support of each subcontract, or purchase order that is the lower of either \$10,000,000 or more, or both more than the pertinent cost or pricing data threshold and more than 10 percent of the prime contractor's proposed price. The CO may require you to submit cost or pricing data in support of proposals in lower amounts. Subcontractor cost or pricing data must be accurate, complete and current as of the date of final price agreement, or an earlier date agreed upon by the parties, given on the prime contractor's Certificate of Current Cost or Pricing Data. The prime contractor is responsible for updating a prospective subcontractor's data. For standard commercial items fabricated by the offeror that are generally stocked in inventory, provide a separate cost breakdown, if priced based on cost. For interorganizational transfers priced at cost, provide a separate breakdown of cost elements. Analyze the cost or pricing data and submit the results of your analysis of the prospective source's proposal. When submission of a prospective source's cost or pricing data is required as described in this paragraph, it must be included along with your own cost or pricing data submission, as part of your own cost or pricing data. You must also submit any other cost or pricing data obtained from a subcontractor, either actually or by specific identification, along with the results of any analysis performed on that data.

(d) Indirect Costs

Indicate how you have computed and applied your indirect costs, including cost breakdowns. Show trends and budgetary data to provide a basis for evaluating the reasonableness of proposed rates. Indicate the rates used and provide an appropriate explanation. Include a copy of your current Negotiated Indirect Cost Agreement.

## (e) Special Equipment

If direct charge, list any equipment proposed including description, price, quantify, total price, purchase or lease, and the basis for pricing.

## (f) Travel

Provide the cost of travel including destination, duration, purpose, per diem, transportation, and the basis for pricing.

## (g) Other Costs

List all other costs not otherwise included in the categories described above (e.g., special tooling, travel, computer and consultant services, preservation, packaging and packing, spoilage and rework, and Federal excise tax on finished articles) and provide bases for pricing.

## (h) Royalties

The offeror shall furnish information concerning royalties which are anticipated to be paid in connection with performance of work under the proposed contract. If royalties exceed \$1,500, you must provide the following information on a separate page for each separate royalty or license fee:

- (1) Name and address of licensor.
- (2) Date of license agreement.
- (3) Patent numbers.
- (4) Patent application serial numbers, or other basis on which the royalty is payable.
- (5) Brief description (including any part or model numbers of each contract item or component on which the royalty is payable).
- (6) Percentage or dollar rate of royalty per unit.
- (7) Unit price of contract item.
- (8) Number of units.
- (9) Total dollar amount of royalties.
- (10) If specifically requested by the CO, a copy of the current license agreement and identification of applicable claims of specific patents (see FAR 27.204 and 31.205-37).

## (i) Facilities Capital Cost of Money (Commercial Organizations, only)

When you elect to claim facilities capital cost of money as an allowable cost, you must submit Form CASB-CMF and show the calculation of the proposed amount (see FAR 31.205-10).

**4. Formats for Submission of Line Item Summaries**

A separate cost/price estimate shall be provided for each research objective that you may propose. Individual cost/price estimates shall be furnished in accordance with the detailed breakdown in the format similar to that shown on the "Business Proposal Cost Information" form found under the subdirectory entitled "FORMS, FORMATS, AND ATTACHMENTS"

(<http://www4.od.nih.gov/ocm/contracts/rfps/forms1.htm>) of this RFP. For each separate cost/price estimate, the offeror must furnish a breakdown by cost element as indicated above. In addition, summary total amounts shall be furnished.

Further, in an effort to assist the cost proposal review process, Offerors who have prepared their business proposal using the following software spreadsheet programs are requested to provide a copy of the cost proposal spreadsheet(s) on a computer disk (high density) along with the submission of your paper copies of the business proposal. IBM PC compatible software programs are: Excel; Lotus 1-2-3; and Quattro Pro.

**5. Note 1**

There is a clear distinction between submitting cost or pricing data and merely making available books, records, and other documents without identification. The requirement for submission of cost or pricing data is met when all accurate cost or pricing data reasonably available to the offeror have been submitted, either actually or by specific identification, to the CO or an authorized representative.

As later information comes into your possession, it should be submitted promptly to the CO in a manner that clearly shows how the information relates to the offeror's price proposal. The requirement for submission of cost or pricing data continues up to the time of agreement on price, or an earlier date agreed upon between the parties if applicable.

**6. Note 2**

By submitting your proposal, you grant the CO or an authorized representative the right to examine records that formed the basis for the pricing proposal. That examination can take place at any time before award. It may include those books, records, documents, and other types of factual information (regardless of form or whether the information is specifically referenced or included in the proposal as the basis for pricing) that will permit an adequate evaluation of the proposed price. [Note to Offerors of RFPs using "JUST IN TIME" procedures: Data substantiating the costs or prices proposed (i.e. payroll documentation, vendor quotes, invoice price, etc.) shall not be submitted with the initial proposal. This information will be requested from the offeror during the negotiation process. The initial proposal need only indicate from what source the proposed costs and prices are substantiated.

## 7. **Qualifications of the Offeror**

a) You are requested to submit a summary of your "General Experience, Organizational Experience Related to this RFP, Performance History and Pertinent Contracts."

### (1) **General Experience**

**General experience** is defined as general background, experience and qualifications of the offeror. A discussion of proposed facilities which can be devoted to the project may be appropriate.

### (2) **Organizational Experience Related to the RFP**

**Organizational experience** is defined as the accomplishment of work, either past or on-going, which is comparable or related to the effort required by this RFP. This includes overall offeror or corporate experience, **but not** the experience and/or past performance of individuals who are proposed as personnel involved with the Statement of Work in this RFP.

### (3) **Past Performance History**

**Performance history** is defined as meeting contract objectives within **delivery** and **cost schedules** on efforts, either past or on-going, which is comparable or related to the effort required by this RFP.

#### a. **Pertinent Contracts**

**Pertinent contracts** is defined as a listing of each related contract completed within the last three years or currently in process. The listing should include: 1) the contract number; 2) contracting agency; 3) contract dollar value; 4) dates contract began and ended (or ends); 5) description of contract work; 6) explanation of relevance of work to this RFP; 7) actual delivery and cost performance versus delivery and cost agreed to in the contract(s). For award fee contracts, separately state in dollars the base fee and award fee available and the award fee actually received. The same type of organizational experience and past performance data should be submitted.

#### b. **Pertinent Grants**

List grants supported by the Government that involved similar or related work to that called for in this RFP. Include the grant number, involved agency, names of the grant specialist and the

Science Administrator, identification of the work, and when performed.

You are cautioned that omission or an inadequate or inaccurate response to this very important RFP requirement could have a negative effect on the overall selection process. Experience and past performance are factors which are relevant to the ability of the offerors to perform and while not an evaluation factor they are considered in the source selection process.

## **8. Small Disadvantaged Business Participation Program**

In order to evaluate an offerors overall commitment to utilize small disadvantaged business concerns you are required to submit the following documentation:

- (a) The names of the individual small disadvantaged business participating concerns that the offeror will utilize in the performance of any resulting contract.
- (b) Evidence to document that the offeror obtained a representation, of the small disadvantage status, from each concern listed in (a) above (refer to FAR 52.219-25).
- (c) Targets, expressed as dollars and percentage of the total contract value, for small disadvantage business participation in any of the Standard Industrial Classification Major Groups for those concerns listed in (a) above. Targets shall indicate if for participation by the prime contractor, joint venture partners, teaming arrangement members or subcontractors. Subcontractor targets must be listed separately.
- (d) Evidence demonstrating your firms past performance in complying with subcontracting plan goals for small disadvantaged business concerns and monetary targets for small disadvantaged business participation. This documentation shall be in table format and include the name of the small disadvantaged business concern, the small disadvantaged business percentage and dollar goals and the small disadvantage business percentage and dollar actuals. Each offeror shall also submit a statement certifying that the information pertaining to past performance goals and actuals are true and accurate.

## **9. Property, Equipment, Facilities**

- (a) It is DHHS policy that Contractors will provide all equipment and facilities necessary for performance of contracts. Exception may be granted to furnish Government-owned property, or to authorize purchase with contract funds, only when approved by the CO. If the offeror is proposing that the Government provide any equipment, other than that specified under Government Furnished Property in the RFP, the proposal must include comprehensive justification which includes, in addition to the description and estimated cost of each item:

- (1) An explanation that the item is for a special use essential to the direct performance of the contract and the item will be used exclusively for the purpose. Office equipment such as desks, office machines, etc., will not be provided under a contract except under very exceptional circumstances.
- (2) No practical or economical alternative exists (e.g., rental, capital investment) that can be used to perform the work.
- (b) The offeror shall identify Government-owned property in its possession and/or Contractor titled property acquired from Federal funds, which it proposes to use in the performance of the prospective contract.
- (c) If an offeror intends to use existing Government-owned facilities in the performance of this proposed contract, the following shall be furnished with the offer: (1) Description and value of all Government production and research property which the offeror or his/her anticipated subcontractors propose to use on a rent-free basis and the cognizant Government Contract Number; (2) Written permission of the CO having cognizance of the property for use of that property without charges; (3) Amount of use (in months) to be made of such property, and (4) Amount of rent which would otherwise be charged for such use, computed in accordance with applicable procurement regulations.
- (d) The management and control of any Government property shall be in accordance with DHHS Publication (OS) 686 entitled, "Contractor's Guide for Control of Government Property (1990)," a copy of which will be provided upon request.

**10. Submission of Electronic Funds Transfer Information with Offer, FAR Clause 52.232-38 (MAY 1999)**

The offeror shall provide, with its offer, the following information that is required to make payment by electronic funds transfer (EFT) under any contract that results from this solicitation. This submission satisfies the requirement to provide EFT information under paragraphs (b)(1) and (j) of the clause at 52.232-34, Payment by Electronic Funds Transfer—Other than Central Contractor Registration.

- 1. The solicitation number (or other procurement identification number).
- 2. The offeror's name and remittance address, as stated in the offer.
- 3. The signature (manual or electronic, as appropriate), title, and telephone number of the offeror's official authorized to provide this information.
- 4. The name, address, and 9-digit Routing Transit Number of the offeror's financial agent.
- 5. The offeror's account number and the type of account (checking, savings, or lockbox).

6. If applicable, the Fedwire Transfer System telegraphic abbreviation of the offeror's financial agent.
7. If applicable, the offeror shall also provide the name, address, telegraphic abbreviation, and 9-digit Routing Transit Number of the correspondent financial institution receiving the wire transfer payment if the offeror's financial agent is not directly on-line to the Fedwire and, therefore, not the receiver of the wire transfer payment.

#### 11. **Financial Capacity**

The offeror shall indicate if it has the necessary financial capacity, working capital, and other resources to perform the contract without assistance from any outside source. If not, indicate the amount required and the anticipated source.

#### 12. **Incremental Funding**

An incrementally funded cost-reimbursement contract is a contract in which the total work effort is to be performed over a multiple year period and funds are allotted, as they become available, to cover discernible phases or increments of performance. The incremental funding technique allows for contracts to be awarded for periods in excess of one year even though the total estimated amount of funds expected to be obligated for the contract are not available at the time of the contract award. If this requirement is specified elsewhere in this RFP, the offeror shall submit a cost proposal for each year. In addition, the following provisions are applicable:

Sufficient funds are not presently available to cover the total cost of the complete multiple year project described in this solicitation. However, it is the Government's intention to negotiate and award a contract using the incremental funding concepts described in the FAR clause 52.232.22, entitled "Limitation of Funds." Under that clause, which will be included in the resultant contract, initial funds will be obligated under the contract to cover an initial period of performance. Additional funds are intended to be allotted from time to time, to the contract by contract modification, up to and including the full estimated cost of the contract, to accomplish the entire project. While it is the Government's intention to progressively fund this contract over the entire period of performance up to and including the full estimated cost, the Government will not be obligated to reimburse the Contractor for costs incurred in excess of the periodic allotments, nor will the Contractor be obligated to perform in excess of the amount allotted.

#### 13. **Facilities Capital Cost of Money, FAR 52.215-16 (October 1997)**

(This is applicable if you are a commercial organization.)

(a) Facilities capital cost of money [(see FAR 15.408(h)] will be an allowable cost under the contemplated contract, if the criteria for allowability in subparagraph 31.205-10(a)(2) of the Federal Acquisition Regulation are met. One

of the allowability criteria requires the prospective Contractor to propose facilities capital cost of money in its offer.

(b) If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

(End of Provision)

If the offeror elects to claim this cost, the offeror shall specifically identify or propose it in the cost proposal for the contract by including one of the following statements:

-The prospective Contractor has specifically identified or proposed facilities capital cost of money in its cost proposal and elects to claim this cost as an allowable cost under the contract. Submit Form CASB-CMF (see FAR 31.205-10), or

-The prospective Contractor has not specifically identified or proposed facilities capital cost of money in its proposal and elects not to claim it as an allowable cost under the contract.

#### 14. **Subcontractors**

If subcontractors are proposed, please include a commitment letter from the subcontractor detailing:

- (a) Willingness to perform as a subcontractor for specific duties (list duties).
- (b) What priority the work will be given and how it will relate to other work.
- (c) The amount of time and facilities available to this project.
- (d) Information on their cognizant field audit offices.
- (e) How rights to publications and patents are to be handled.
- (f) A complete cost proposal in the same format as the offeror's cost proposal.

#### 15. **Representations and Certifications**

One copy of the [Representations and Certifications](#) shall be completed and signed by an official authorized to bind your organization. Additionally, a completed copy of the Representations and Certifications shall be submitted from any proposed subcontractor.

Note: All offerors included in the competitive range will be required to submit a copy of the organization's most recent annual financial report and a copy of their written travel policy. A written travel policy for any proposed subcontractors shall also be submitted at that time. If an offeror (or any proposed subcontractor) does not have a written travel policy, the offeror shall so state. Also, the correct Data Universal Numbering System Number URL is <http://www.customerservice@dnb.com>



PROPOSAL INTENT RESPONSE SHEET - PROPOSAL INTENT  
RFP NIMH-99-DS-0004

PLEASE REVIEW THE ATTACHED RFP. FURNISH THE INFORMATION REQUESTED BELOW AND RETURN THIS PAGE ON OR BEFORE. YOUR EXPRESSION OF INTENT IS NOT BINDING BUT WILL GREATLY ASSIST US IN PLANNING FOR PROPOSAL EVALUATION.

CHECK ONLY ONE BOX.

☐ DO INTEND TO SUBMIT A PROPOSAL

☐ DO NOT INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

TYPED NAME AND TITLE: \_\_\_\_\_

INSTITUTION: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_

TELEPHONE NO.: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

FAX NO. \_\_\_\_\_

DATE: \_\_\_\_\_

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COLLABORATORS/CONSULTANTS - Provide name(s) and institution(s): (Continue list on additional pages if necessary)

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RETURN, BY AUGUST 4, 1999,

TO: National Institute of Mental Health  
Contracts Management Branch  
Attn: Robert D. Barnie  
6001 Exec. Blvd., Rm. 6107, MSC 9603  
Bethesda, MD 20892-9603  
FAX (301) 443-0501  
[Rb245s@nih.gov](mailto:Rb245s@nih.gov)

## ATTACHMENT 5

### III. APPLICABLE RFP REFERENCES

A. This section identifies the items located in the Streamlined RFP References that are applicable to this RFP.

1. Key Personnel
2. Privacy Act – System of Records Number 09-25-0200 will apply ([Privacy Act 1997](#))
3. Reporting Matters Involving Fraud, Waste and Abuse
4. ADP Systems Security Specifications
5. Needle Exchange
6. Press Releases
7. Publication and Publicity
8. Subcontracting Provisions
9. Human Subjects
10. Human Materials
11. Notice to Offerors of Requirement for Adequate Assurance of Protection of Human Subjects
12. Inclusion of Women & Minorities in Research Involving Human Subjects
13. Continued Ban on funding of Human Embryo Research
14. Inclusion of Children in Research Involving Human Subjects
15. OMB Clearance

The following general clauses and provisions are applicable to this specific RFP depending on your organizational status: Negotiated Cost-Reimbursement Contract with an Educational Institution, Negotiated Cost-Reimbursement Contract with a Non-Profit or, Negotiated Cost-Reimbursement Research and Development Contract. The clauses are located in the file "[General Clauses](#)." <http://amb.nci.nih.gov/Clauses/Clauses.html>

The following items are applicable to this specific RFP and are located in the file entitled (except as noted) [FORMS, FORMATS AND ATTACHMENTS](#):  
<http://www4.od.nih.gov/ocm/contracts/rfps/forms1.htm>

**SUBMIT WITH TECHNICAL PROPOSAL** (with original and every copy of technical proposal)

1. Technical Proposal Cover Sheet
2. Summary of Current and Proposed Activities

**SUBMIT WITH BUSINESS PROPOSAL:**

1. Proposal Summary and Data record, NIH-2043, with every copy of business proposal.
2. Business Proposal Cost Information
3. Disclosure of Lobbying Activities, OMB SF-LLL, only one completed and signed original

4. Representations and Certifications

OTHER - TO BE SUBMITTED LATER:

1. Certificate of Current Cost or Pricing Data, NIH-1397, to be submitted with FPR, if required by the CO
2. DHHS Small, Small Disadvantaged, HUBZone and Women-Owned Small Business Subcontracting Plan, to be submitted as directed by the CO

ANTICIPATED TO BE INCLUDED AS CONTRACT ATTACHMENTS:

1. Invoice/Financing Requests Instructions for NIH Cost-Reimbursement Type Contracts, NIH(RC)-1
2. NIH 2706, Financial Report of Individual Project/Contract, the form with instructions
3. Procurement of Certain Equipment, NIH(RC)-7